



**11.3.1P**

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Responsible Executive: Dean of Libraries  
Responsible Office(s): Records Management (Libraries),  
University Archives  
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## Records Management

### Policy Statement

Eastern Kentucky University is committed to obeying all state laws governing the retention and/or destruction of University records. It is the responsibility of each individual employee to follow the records management regulations for the records they create and store. Department heads are responsible for ensuring the training of their employees in the records management policy and procedures. The University's Records Administrator is responsible for assisting in the implementation of this policy.

As defined by KRS 171.410 (4), Eastern Kentucky University is a public agency. This means that all records created by University employees are public records. The retention and final disposition of these records is mandated by Kentucky statute and regulated by the Kentucky Department of Libraries and Archives (KDLA).

Public records are defined by Kentucky statute KRS 171.410 (1) as "all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings and other documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency."

### Entities Affected by the Policy

All ECU Faculty, Staff, Administrators, and Registered Student Organizations

### Policy Procedures

#### DISPOSITION OF PUBLIC RECORDS

##### Retention of Public Records at the University

University records are maintained based on the Record's Life Cycle, meaning that records are created, used frequently for a period of time, and then destroyed or retained permanently. During the use phase, active records are accessed frequently and may exist in multiple offices. Once records are no longer being used frequently, but have not met retention requirements, they move to an inactive status. The Office of Record may or may not be the creator of the original record, but is ultimately responsible for its maintenance. Examples of the Office of Record for some of the University's permanent or semi-permanent records include, but are not limited to, those outlined in the table below.

| Permanent or Semi-Permanent Records                   | Office of Record              | Transferred to                                   |
|---|-------------------------------|--|
| Institutional plats, boundary maps and building plans | VP-Finance and Administration | Not transferred until building is taken offline, |

|                                |                    |  |
|--------------------------------|--------------------|--|
|                                |                    | then transferred to Special Collections & Archives |
| Minutes (policy-making bodies) | Creating Unit      | Special Collections & Archives                     |
| Personnel/payroll Records      | Human Resources    | Special Collections & Archives                     |
| Property Records               | University Counsel | Not transferred                                    |
| Publications, Photographs      | Creating Unit      | Special Collections & Archives                     |
| Student academic records       | Registrar          | Not transferred                                    |

The retention time of University Records varies per type and function of each record. Records should be properly maintained in accordance with the [Kentucky State University Model Records Retention Schedule](#) (Records Retention Schedule). Note that the Records Retention Schedule refers to various copies of records, as well. Working copies may be used by offices for convenience purposes, but have a much shorter retention time than official record copies.

#### **Destruction of Public Records at the University**

Once records have met the retention time indicated by the Records Retention Schedule, they may be disposed of as long as no legal action or preservation directive is pending pertaining to the records. In order to dispose of records, a Certificate of Disposal must be filled out and sent to the Special Collections and Archives to provide an audit trail for the disposition.

Unless the Records Retention Schedule specifically denotes a separate retention time for copies, working copies do not require a Certificate of Disposal. Records containing confidential information must be shredded while non-confidential records may be recycled. If a record is not specifically listed on the Records Retention Schedule, contact a Records Management Liaison or the University Records Administrator for guidance.

#### **Transmittal of Permanent University Records to Special Collections and Archives or Registrar's Office**

Records deemed as permanent per the Records Retention Schedule that have historical value to the University should be transferred to the Special Collections and Archives when they no longer serve an active need in the originating or current-user office. Similarly, permanent student academic files should be transferred to the Registrar's Office. Before transmitting to Special Collections and Archives or the Registrar's Office, files should be examined to ensure that only permanent records are being transferred and the permanent records should be organized and neatly boxed in records center boxes. Once the boxes are prepared, a Records Transmittal form should be filled out, complete with a detailed list of contents, and sent to the Special Collections and Archives or the Registrar's Office. If confidential records are included within the transmittal, Special Collections and Archives or the Registrar's Office must be notified prior to transmittal.

To access the Kentucky State University Model Records Retention Schedule, relevant forms, and more information, visit [records.eku.edu](http://records.eku.edu).

#### **SELECTION OF THE ECU RECORDS ADVISORY COMMITTEE**

The ECU Records Advisory Committee shall consist of the University Records Administrator, the Registrar, and one representative from each of the following offices: Academic Affairs, Finance and Administration, Human Resources, Information Technology, Internal Audit, Institutional Equity, President's Office, Student Affairs, and University Counsel. Area representatives should be the primary authority or a person designated by the primary authority. Additional members of the committee may be added at the discretion of the University Records Manager.

1. Committee members serve indefinite terms or until they can no longer represent their designated area.
2. All committee members are ex-officio voting members, except the representative from Internal Audit, who shall not vote.
3. The ECU Records Advisory Committee shall meet at least once a quarter.

## Responsibilities

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|--|---|
| <b>Administrative and Academic Units</b> | <p>Administrative and Academic Units are responsible for</p> <ul style="list-style-type: none"> <li>• Designating a primary liaison to the University Records Administrator and ensuring the designated person has opportunity and time for training</li> <li>• Transmitting permanent records to the appropriate records manager (i.e., University Records Administrator, Registrar, etc.)</li> <li>• Managing records in accordance with University requirements, in compliance with applicable federal and state laws, and in accordance with the State University Model Records Retention Schedule</li> <li>• Ensuring that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the final disposition of records at the end of their legal retention period</li> </ul>   |
| <b>EKU Records Advisory Committee</b>    | <p>The Records Committee is responsible for</p> <ul style="list-style-type: none"> <li>• Updating the Committee members on changes relevant to the respective area of responsibility that may impact the Records Retention Schedule</li> <li>• Serving as a forum for addressing university-wide issues pertaining to records management</li> <li>• Making recommendations to the President's Council regarding compliance issues with federal and state records retention laws</li> </ul>  |
| <b>Faculty</b>                           | <p>Faculty are responsible for</p> <ul style="list-style-type: none"> <li>• Managing records in accordance with University requirements, in compliance with applicable federal and state laws, and in accordance with the State University Model Records Retention Schedule</li> <li>• Ensuring that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the final disposition of records at the end of their legal retention period</li> <li>• Assisting in identifying and preserving records of vital or historical value to the University</li> </ul>  |
| <b>President</b>                         | <p>The President is responsible for</p> <ul style="list-style-type: none"> <li>• Establishing and managing an active, continuing program for the economical and efficient management of the University's records (KRS 171.680)</li> </ul>   |
| <b>Records Management Liaisons</b>       | <p>Records Management Liaisons in administrative and academic units are responsible for</p> <ul style="list-style-type: none"> <li>• Ensuring that faculty and staff in their area are educated on records retention policies and procedures</li> <li>• Serving as a reference for records questions</li> <li>• Ensuring Certificates of Disposal and maintenance of permanent records are properly executed</li> <li>• Reporting any records issues (discrepancies in the Records Retention Schedule, missing items, etc.) to the Records Administrator</li> </ul>   |
| <b>Registered Student Organizations</b>  | <p>Sponsored Student Organizations are responsible for</p> <ul style="list-style-type: none"> <li>• Managing records in accordance with University requirements, in compliance with applicable federal and state laws, and in accordance with the State University Model Records Retention Schedule</li> <li>• Ensuring that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the final disposition of records at the end of their legal retention period</li> <li>• Assisting in identifying and preserving records of vital or historical value to the University</li> </ul> <p>Voluntary Student Organizations and Non-Affiliated Student Organizations are encouraged to</p> <ul style="list-style-type: none"> <li>• Manage records in accordance with University requirements, in compliance with applicable federal and state laws, and in accordance with the State University Model Records Retention Schedule</li> <li>• Ensure that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the final disposition of records at the end of their legal retention period</li> <li>• Assist in identifying and preserving records of vital or historical value to the University</li> </ul> |

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| <b>Registrar</b>                              | The Registrar is responsible for <ul style="list-style-type: none"> <li>• Coordinating records management program for student academic records at the University</li> <li>• Maintaining and housing all student academic records, including permanent records</li> <li>• Serving on the ECU Records Advisory Committee</li> </ul>  |
| <b>Special Collections and Archives (EKU)</b> | Special Collections and Archives is responsible for <ul style="list-style-type: none"> <li>• Housing and maintaining permanent records</li> </ul>  |
| <b>Staff</b>                                  | Staff are responsible for <ul style="list-style-type: none"> <li>• Managing records in accordance with University requirements, in compliance with applicable federal and state laws, and in accordance with the State University Model Records Retention Schedule</li> <li>• Enduring that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the final disposition of records at the end of their legal retention period</li> <li>• Assisting in identifying and preserving records of vital or historical value to the University</li> </ul>          |
| <b>University Counsel</b>                     | University Counsel is responsible for <ul style="list-style-type: none"> <li>• Housing and maintaining permanent records relative to legal matters at the University</li> </ul>  |
| <b>University Records Administrator</b>       | The University Records Administrator is responsible for <ul style="list-style-type: none"> <li>• Coordinating the records management program within the University</li> <li>• Serving as the official liaison with Kentucky Department for Libraries and Archives (KDLA) on records management issues, including updates to the State University Model Records Retention Schedule</li> <li>• Providing training and ongoing assistance for records management liaisons and other individuals assigned with records management responsibility</li> <li>• Chairing the University Records Committee</li> </ul> |

## Definitions

|                                       |  |
|---------------------------------------|--|
| <b>Active Record</b>                  | A record that is in use and needed to perform current operations, is accessed frequently, and usually located near the user  |
| <b>Certificate of Disposal</b>        | A form used to document the destruction of specified records series based on the Records Retention Schedule  |
| <b>Confidential Information</b>       | Personally identifiable or sensitive information including, but not limited to, social security numbers, ECU identification numbers, student grade information, sensitive reports, medical records, student disciplinary records, personnel records, counseling and disability records, etc. |
| <b>Creating Unit</b>                  | The office in which a given record originates  |
| <b>Disposition</b>                    | A final administrative action taken with regard to records, including destruction, transfer to another entity, or permanent preservation   |
| <b>ECU Records Advisory Committee</b> | The University committee that serves as an advisory board on records management-related issues   |
| <b>Inactive Record</b>                | A record that is not consulted frequently but that must be retained because it has not yet met the full retention requirements or for other legal, operational, or scholarly reasons.  |
| <b>Office of Record</b>               | The office designated by the University President or proxy to maintain the record or official copy of a particular record in an organization   |
| <b>Permanent Record</b>               | A record that has been determined to have sufficient historical, administrative, legal, fiscal, or other value to warrant continuing preservation  |
| <b>Preservation Directive</b>         | A communication issued as a result of current or anticipated litigation, audit, government investigation, or other such matter that suspends the normal disposition or processing of records   |

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|--|--|
| <b>Public Records</b>  | All books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings, e-mails, and other documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by Eastern Kentucky University   |
| <b>Record Copy</b>   | The official copy of a record that is retained for legal, operational, or historical purposes. The record copy is usually, but not necessarily, the original record  |
| <b>Records Management</b>  | The systematic control of recorded information, regardless of format, from original creation to ultimate disposition   |
| <b>Retention Period</b>  | The length of time a record must be kept to meet administrative, fiscal, legal, or historical requirements. Retention times can vary based on if a document is simply a copy or the official record copy   |
| <b>Records Retention Schedule</b>  | A comprehensive list of records series, indicating for each the length of time it is to be retained and its disposition. For state universities, such as EKV, the Records Retention Schedule is maintained by the Kentucky University Archives and Records Advisory Committee and approved by the State Archives and Records Commission (SARC) |
| <b>Records Series</b>  | A group of related records filed and/or used together as a unit and evaluated as a unit per the Records Retention Schedule   |
| <b>Records Transmittal Form</b>  | A form used when transferring permanent records to another department that describes what is being moved, where the items are being transferred from, and where they will be transferred to  |
| <b>State Archives and Records Commission (SARC)</b>                        | The body created under KRS 171.420 that has the authority to review and approve all records retention schedules submitted by state and local public agencies through the Kentucky Department for Library and Archives. SARC is the final and exclusive authority to determine the ultimate disposition of Kentucky's public records            |
| <b>Kentucky University Archives and Records Advisory Committee (UARAC)</b> | An advisory board to the State Archives and Records Commission, consisting of the state records manager and records professionals from Kentucky's public institutions, that recommends revisions to the State University Model Records Retention Schedule  |
| <b>Working Copy</b>  | A copy of a record that is unofficial, such as preliminary drafts, worksheets, duplicate copies used for convenience purposes, etc., that does not meet the requirements for the official record copy.   |

**Interpreting Authority**

President

**Statutory or Regulatory References**

KRS 171.410-740

**Policy Adoption Review and Approval**

**Policy Issued**

| <u>Date</u>             | <u>Entity</u>           | <u>Action</u>  |
|-------------------------|-------------------------|----------------|
| <b>January 25, 2016</b> | <b>Board of Regents</b> | <b>Adopted</b> |
| December 9, 2015        | President Benson        | Approved       |
| November 4, 2015        | Provost Council         | Approved       |
| October 5, 2015         | Faculty Senate          | Approved       |
| August 31, 2015         | Staff Council           | Approved       |