

Records Management at St. Kate's

In preparation for the campus de-clutter day in July, the Records Management Oversight Committee (RMOC) has prepared guidance regarding records management at the University. This handout will help inform you of your role in supporting the University's Records Management Policy and answer some questions.

What is Records Management?

Records management (RM) is the "field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records."

ISO 15489-1; 3.16

Vision for Records Management at St. Catherine University

"... to ensure that necessary records are adequately protected and maintained, that records no longer needed are adequately destroyed at the appropriate time, and that the history of the institution is preserved. Records management and the related retention policies apply to all records regardless of format, whether these are in paper, electronic, or other media."

Records Management Policy, April 9, 2009—Purpose

Where Can I Access the University's Records Management Policy?

The Records Management Policy was approved by the Board of Trustees in May 2009. The policy is available through KateWay, on the My Job tab. A link to records management resources (including the policy) is in the Governing Documents box near the bottom of the column on the left.

Why Should I Care about Records Management?

Records are an important asset of the University and contain valuable, sometimes vital information.

Benefits of RM to St. Catherine University	How Records Management Applies to You
<p>MANAGES RISK:</p> <ul style="list-style-type: none">• Ensures legal and regulatory compliance• Minimizes risk of litigation• Protects University interests, as well as the interests of employees, students, and other stakeholders <p>MANAGES RESOURCES:</p> <ul style="list-style-type: none">• Fosters management of University information resources throughout their lifecycle from creation to destruction or transfer to the University Archives• Lowers operating costs• Enables business continuity• Enables more informed decision making• Preserves University history and institutional memory	<p>MANAGES RISK:</p> <ul style="list-style-type: none">• Minimizes your risk of personal liability• Fosters recognition you have a responsibility to protect the University <p>MANAGES RESOURCES:</p> <ul style="list-style-type: none">• Enables you to gain control over the information in your office and department• Enables increased organization, efficiency, and productivity in your work• Enables more informed decision making• Fosters awareness you are the keeper of institutional memory for the records in your control

What is a Record?

Institutional records are documentary material, regardless of physical form or media, generated or received in transacting the business of St. Catherine University. These may include information of a historical nature and can be produced internally or externally. Records exist in many forms. The term “records” does not include books, newspapers, or other reference materials generated outside the institution. Records do include personal file copies regardless of location when the records meet the description above.

Records Management Policy, April 9, 2009—Definitions

Records can be in any medium—paper, electronic, magnetic tape, or microforms. Electronic records can be stored in a variety of locations and software, such as shared network drives, Banner, LotusNotes, web pages, CDs/DVDs, etc. Records management applies to them all.

Examples of records are:

1. Departmental Records: key activities of all units or functions
2. Project Records: intra-departmental, inter-departmental, or university-wide committees, councils, or projects
3. Operational Records: day-to-day activities of all units or functions
4. Personal Records: employee activities outside St. Catherine University
5. Department-specific Records: activities unique to your unit or function

What is a Records Retention Schedule?

Records retention is the process by which records are maintained for specified periods of time in order to fulfill any business, legal, or regulatory requirements. The length of time to keep individual categories of records (called record series) and how to dispose of them is listed in a document called a records retention schedule.

Where Can I Access the University's Records Retention Schedule?

St. Catherine University's Records Retention Schedule is included with the Records Management Policy as Appendix A. The retention schedule is currently being revised and updated by the Records Management Oversight Committee. The following information for each record series is included in the schedule:

- **Record series name**
- **Master Record Holder:** the person or office responsible for maintaining the official copy of records in the series for the stated retention period. Contact the Master Record Holder for questions or requests regarding records in their control.
- **Retention Period:** the length of time records in the series must be kept.
- **Disposition:** what should be done with the records at the end of the retention period. Only records of potential archival value are currently designated. The University Archivist should be consulted about possible transfer of these records to the Archives. Other options (confidential destruction, recycling, etc.) will be added by RMOC in the future.

Retention for Unofficial Copies of Records

As set by the Records Management Policy, copies of records in offices other than the Master Record Holder are unofficial copies and usually are kept for **no longer than 2 years**. Unofficial copies are never to be retained longer than the retention period for the official copy.

Tips for the Campus De-clutter Day

- Consult the Records Retention Schedule (Appendix A, Records Management Policy—on KateWay/My Jobs tab) for guidance regarding records in your office
- The Records Retention Schedule applies to all university records, regardless of format or medium
- Master Record Holder
 - ✓ If you **are** the Master Record Holder of records in your office, you are responsible for maintaining the official copy
 - ✓ If you are **not** the Master Record Holder for any records in your office, you should keep the records no longer than 2 years
- Permanent Records
 - ✓ Records whose retention is "permanent" should not be destroyed or discarded
 - ✓ Consult Deborah Kloiber, University Archivist, about potential transfer of permanent records to the Archives, especially any with "yes" in the Potentially Archival column

Who Can I Contact with Questions?

The Records Management Oversight Committee can provide further information and assistance. Consult the appropriate RMOC member(s) below.

Chair, RMOC

Deborah Kloiber, University Archivist: x6599 or x6553; dkloiber@stkate.edu

Division Records Managers

Academic Affairs

Academic departments

Amber Gehring: x6142; ajgehring@stkate.edu

All other departments

Cindy Egeness: x6864; cnegeness@stkate.edu

Enrollment Management, Instructional Technology, and Student Affairs

Meghan Flores: x6757; mrflores@stkate.edu

Mike Peterson: x7767; mcpeterson@stkate.edu

External Relations

Terri Bouressa: x6976; tabouressa@stkate.edu

Finance and Administration

Sarah Schnell: x8754; sbschnell@stkate.edu

Office of the President & Board of Trustees

Bryonie Moon: x6525; bamoon@stkate.edu