UNIVERSITY of NORTH DAKOTA
RECORDS MANAGEMENT PROCEDURE LIBRARY

Office of Records Management

Procedure: Deceased Administration, Faculty or Staff Member

Responsible Executive: Vice President of Finance and Operations

Responsible Office: Office of Records Management

Issued: December 31, 2015

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REASON FOR PROCEDURE

The passing of an administror, faculty member, or staff member is traumatic both for the family and co-workers of the individual. In the immediate aftermath of the passing, the University Records Manager will work in cooperation with the Records Coordinator and other departmental resources to ensure that university records are adequately identified, managed, and protected. Another goal of the procedure is to assist the family and department during this difficult transition.

CONTACTS

Specific questions should be directed to the following:

Subject	Contact	Telephone	Office or Department E-Mail / Web Address
Procedure Clarification	Office of Records Management	(701) 777-6797	http://und.edu/finance-operations/records-management/index.cfm
Records Retention	Office of Records Management	(701) 777-6797	http://und.edu/finance-operations/records-management/index.cfm

DEFINITIONS

Disposition	Action to be taken on a record series at a specified time. May entail destruction, reformatting, transfer, or permanent retention.
Record	The complete set of documentation, regardless of media format, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the institution.
Records Retention Schedule	An approved timetable stating retention periods (length of time to maintain) and the method of disposal for the records.
Retention Period	The length of time a record must be maintained, based on administrative, fiscal, historical, and legal values before disposition can take place.

PROCEDURES

Records Review – Deceased Administrator, Faculty or Staff Member

1. Records Coordinator contacts the University Records Manager (777-6797) to schedule an appointment to review the deceased's workspace. If possible, this contact should take place within two days of the deceased's passing.

2. University Records Manager and Records Coordinator or other individual appointed by the department should check the deceased's workspace for time-sensitive personal items (e.g. valuables, perishable items). These items should be removed, secured and transferred to the deceased's family.

3. University Records Manager and Records Coordinator review the records at the deceased's workspace.

   3.1. Did the deceased maintain records that are the property of a third party (e.g. academic association, publication, professional society)?
   - Yes, contact the third party to determine if the records should be returned to their custody.
   - No, go to Question 3.2.

   3.2. Did the deceased maintain university records?
   - Yes, go to Question 3.3.
   - No, go to Question 3.8.

   3.3. Did the deceased maintain any university records off campus?
   - Yes, University Records Manager and Records Coordinator will coordinate with the family to retrieve the records and return them to the custody of the department.
   - No, go to Question 3.4.

   3.4. Was the deceased subject to any open records requests or records holds?
   - Yes, consult with State of North Dakota Office of the Attorney General - UND to ensure that all required records have been secured.
   - No, go to Question 3.5.

   3.5. Was the deceased responsible for any student records?
   - Yes, special attention should be paid to these records to ensure they are protected in accordance with FERPA requirements. Student records should only be transferred to UND employees with a legitimate educational interest.
   - No, go to Question 3.6.

   3.6. Review Records Repositories - Paper

      3.6.1. Do the documents have administrative, fiscal, legal, or historical value?
      - Yes, go to Question 3.6.2.
      - No, go to Question 3.7.

      3.6.2. Have the records met the required retention?
      - Yes, schedule the records for destruction or transfer (Archives) using the Records Disposition Application to create a Certificate of Disposition.
      - No, go to Question 3.6.3.

      3.6.3. Manage the records
      - Move the records to the department filing system.
      - Transfer the records to a co-worker/replacement.
      - Box the records and move to department storage.

3.7. Review Records Repositories - Electronic
    3.7.1. Repositories
        -Personal Drive
        -Local Hard Drive (C:)
        -External Hard Drive
        -Flash Drive
        -Smart Phone
    3.7.2. Do the documents have administrative, fiscal, legal, or historical value?
        -Yes, go to Question 3.7.3.
        -No, go to Question 3.8.
    3.7.3. Have the records met the required retention?
        -Yes, schedule the records for destruction or transfer (Archives) using the Records Disposition Application to create a Certificate of Disposition.
        -No, go to Question 3.7.4.
    3.7.4. Manage the records
        -Move the records to the department shared drive.
        -Transfer the records to a co-worker/replacement.
3.8. Review Records Repositories - Email
    -Contact CILT (777-2129) to provide notification that the administrator, faculty, or staff has passed away.
    -Advise CILT if the deceased's email account should be forwarded to another individual.
    -CILT will deactivate the email account.
    -CILT will make a copy of the deceased's email account.
    -The department will be given access to the copy of the email account.
    -The department will be given sufficient time to review the emails prior to the destruction of the copy.
3.9. Are the records maintained personal records?
    -Yes, University Records Manager and Records Coordinator offer to assist the family reviewing the personal items and personal records that remain in the office. Personal records are defined as those records having no value or affiliation to the university. If the family does not wish to work in the office, the University Records Manager and Records Coordinator will prepare the items and records for transfer to the family. Dispose of items that have no use to the university or the family.
    -No, dispose of remaining records, documents and files.

RELATED INFORMATION, RESOURCES & FORMS

NDCC 54-46 – Records Management	http://www.legis.nd.gov/cencode/t54c46.pdf?20150225215324
University of North Dakota Records Retention Schedule	http://www.und.edu/finance-operations/records-management/_files/docs/2014-07-01-records-retention-schedule.pdf

REVISION RECORD

12/31/2015 – Procedure Implementation	Office of Records Management