

**UNIVERSITY of NORTH DAKOTA
RECORDS MANAGEMENT PROCEDURE LIBRARY**

Office of Records Management

Procedure: Departing Administration, Faculty or Staff Member
Responsible Executive: Vice President of Finance and Operations
Responsible Office: Office of Records Management
Issued: December 31, 2015
Last Review / Revision: December 31, 2015



REASON FOR PROCEDURE

The records of departing administrators, faculty, and staff are the property of the University of North Dakota. Prior to the departure, the Records Coordinator in the departing employee's department should meet with them to identify university records in their possession. This review is designed to ensure that university records are adequately identified, managed, and protected.

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.
Office of Record	The department that is responsible for maintaining the official record copy of a document for the institution.
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 – Departing Administrator, Faculty or Staff Member

1. Records Coordinator schedules time to meet with the departing administrator, faculty, or staff member. The university records manager will also participate in this meeting at the request of the records coordinator.
2. Records Coordinator interviews the departing faculty or staff member
 - 2.1. Does the departing administrator, faculty or staff member maintain personal records? Personal records are defined as records having no value or affiliation to the university.
 - Yes, the departing administrator, faculty or staff member may remove these records from their workspace or university computer.
 - No, go to Question 2.2
 - 2.2. Does the departing administrator, faculty or staff member maintain university records?
 - Yes, go to Question 2.3.
 - No, dispose of remaining records, documents and files.
 - 2.3. Does the departing administrator, faculty or staff member maintain any university records off campus?
 - Yes, the departing administrator, faculty or staff member must return the records to the Records Coordinator at least one week prior to their last day of service. The departing administrator, faculty or staff member may not retain university records.
 - No, go to Question 2.4.
 - 2.4. Is the departing administrator, faculty or staff member subject to any open records requests or records holds?
 - Yes, consult with the State of North Dakota Office of the Attorney General - UND to ensure that all required records have been secured.
 - No, go to Question 2.5.
 - 2.5. Is the departing administrator, faculty or staff member 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 2.6.
 - 2.6. Review Records Repositories - Paper
 - 2.6.1. Do the documents have administrative, fiscal, legal, or historical value?
 - Yes, go to Question 2.6.2.
 - No, shred (if confidential information is included) or recycle the documents.
 - 2.6.2. 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 2.6.3.
 - 2.6.3. 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.
 - 2.7. Review Records Repositories - Electronic
 - 2.7.1. Repositories
 - Personal Drive
 - Local Hard Drive (C:)
 - External Hard Drive
 - Flash Drive
 - Smart Phone

- 2.7.2. Do the documents have administrative, fiscal, legal, or historical value?
 - Yes, go to Question 2.7.3.
 - No, delete the documents.
- 2.7.3. 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 2.7.4.
- 2.7.4. Manage the records
 - Move the records to the department shared drive.
 - Transfer the records to a co-worker/replacement.
- 2.8. Review Records Repositories - Email
 - Contact CILT (777-2129) to provide notification that the administrator, faculty or staff member will be leaving the University. Provide an expected termination date.
 - CILT will change the username and password on the account.
 - CILT will provide the new username and password to the Records Coordinator.
 - The department will have access to the email account for 30 days.
 - If student records are maintained in the departing administrator, faculty or staff member's email account, access should be limited to an individual with a legitimate educational interest in accordance with FERPA requirements.
 - All emails that require retention should be forwarded to the appropriate individuals or printed to paper or PDF and filed.
 - CILT will delete the email account after 30 days.

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
--	------------------------------