

# **NORTHEAST COMMUNITY COLLEGE**

## **ADMINISTRATIVE PROCEDURE NUMBER: AP-3070.0**

### **FOR BOARD POLICY NUMBER: BP-3070**

#### **RECORDS MANAGEMENT PROCEDURE**

## **1. PROCEDURE SUMMARY STATEMENT**

To provide a process for records management including the retention and destruction of College records.

## **2. DEFINITIONS**

- 2.1 College Record – Any type of document or recorded information such as a book, diskette, CD, server, document, paper, photograph, microfilm, sound or video recording, magnetic storage medium, optical storage medium, or other material regardless of physical form or characteristics created or received by the College, any of its officers or employees in the transaction of public business.
- 2.2 Electronic Messages – Any communication using an electronic system for the conduct of official business internally, and with external parties. These messages may be in the form of e-mail, electronic document exchange (electronic fax), and electronic collaboration systems (SharePoint). In these regulations, the terms electronic messages and e-mail are used, depending on the context, to mean the same thing. Electronic messages are handled as electronic records.
- 2.3 Electronic Record – A record created, generated, sent, communicated, received, or stored by electronic means, including, but not limited to, email, email attachments, electronic fax, electronic data interchange, electronic recordkeeping systems and electronic databases.
- 2.4 FERPA – Family Educational Rights and Privacy Act
- 2.5 HIPPA – Health Insurance Portability and Accountability Act
- 2.6 NCCA – Nebraska Community College Association
- 2.7 Non-Record – Stocks of printed or reproduced documents that are kept for supply purposes where file copies have been retained for record purposes, including drafts, worksheets, informal notes, duplicate copies or library materials (books, periodicals, newspapers, etc.) preserved solely for reference purposes.

- 2.8 PCI DSS – Payment Card Industry Data Security Standard
- 2.9 Records Management Application (RMA) – Software used by an organization to manage its records. Its primary management functions are categorizing and locating records and identifying records that are due for disposition. RMA software also stores, retrieves, and disposes of the electronic records that are stored in its repository. Mobius Document Direct is an example of an RMA that can categorize or locate records by content or date. Another example is the archiving feature of Microsoft Outlook.
- 2.10 Retention Schedule – A document that identifies the records created or received and maintained by employees in the course of College business, retention periods, and other records disposition information that the records management program may require.
- 2.11 Retention Period – The length of time during which records must be kept before final disposition. The retention period for a record applies to the record regardless of the medium in which it is maintained. Different retention schedules can have different requirements for the same type of records. College departments must use the retention periods recommended in NCCA Schedule 155 and the Nebraska Schedule 24, as these retention periods have been examined and approved by the State Records Management Division.

### **3. PROCEDURE**

#### **3.1 General**

Proper records management is important to identify and protect vital records; to minimize costs associated with record storage; to increase business efficiency; to ensure records are retrievable; to meet the requirements of state and federal laws and regulations; and to purge records that no longer have administrative, fiscal, legal or historical value. Employees must follow the NCCA Schedule 155 and the Nebraska Schedule 24 to ensure the College is compliant with State recommendations concerning records management practices. The Communications Supervisor will serve as the College resource for records management practices at the College. The Executive Director of Business Services is responsible for oversight of the retention and destruction practices and ensuring the College is using the most current approved NCCA Schedule 155 and Nebraska Schedule 24.

- 3.1.1 Regardless of media on which they reside, the NCCA Schedule 155 and Nebraska Schedule 24 records management schedules apply to all records in all storage areas of the College, including records kept within the departments. Furthermore, these schedules

have been analyzed by the State Archivist to identify all archival and historical material for which no disposition except transfer to the State Archives has been recommended. The Communications Supervisor is responsible for notifying College personnel of any relevant changes in these schedules.

- 3.1.2 When determining the retention period of College records, the NCCA Schedule 155 takes precedence over Local Agencies General Records Schedule 24 for any items which have differences in retention requirements.
- 3.1.3 All records, regardless of the media on which they reside, including but not exclusive to microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc., must be retained in accordance with the records management schedules.
- 3.1.4 Electronic messages are handled as records. There is no single retention period for all electronic messages. Retention and disposition of electronic messages depend on the function and content of the individual message. Electronic messages shall be managed at the end-user's device rather than from a central point. Each end-user (anyone who creates or receives electronic messages) is responsible for managing electronic records that are a part of his or her electronic messaging system or RMA.
- 3.1.5 Electronic messages sent and received fall within three broad categories: (1) transitory messages, including copies posted to several persons and casual and routine communications similar to telephone conversations; (2) records with a less than permanent retention period; and (3) records with a permanent retention period.
  - 3.1.5.1 Transitory messages. There is no retention requirement for these messages. Employees receiving such communications may delete them immediately without obtaining approval of the Executive Director of Business Services.
  - 3.1.5.2 Less than permanent retention messages. The records shall be in an electronic format which can be retrieved and interpreted for the specified retention period. These records are governed by the retention period for equivalent hard copy records as specified in the records management schedules.
  - 3.1.5.3 Permanent retention messages. Messages that are required to be maintained permanently shall be stored in

the appropriate medium for storage and retrieval in accordance with current College best practice.

- 3.1.6 The Communications Supervisor will maintain a master Records Management Inventory document of all identified College records pertinent to the NCCA Schedule 155 and Nebraska Schedule 24. The master Records Management Inventory document will be available to all staff on the College network.
- 3.1.7 Divisions are responsible for creating and implementing a documented, standardized filing system. A standardized filing system includes the creation of file indexes for storage containers (filing cabinets, shelving units, etc.). Records retained within a division shall also meet HIPAA, PCI DSS, FERPA or other applicable Federal regulations. Many files can be reviewed for retention and rotated at the end of the fiscal year.
  - 3.1.7.1 Departments may use Records Management Application (RMA) software to manage records in electronic form.
  - 3.1.7.2 If non-transitory electronic messages are to be filed electronically, information systems managers shall be consulted for appropriate storage locations, and provide education on classification and filing procedures. Best practices for management of electronic messages are maintained in the office of the Vice President of Technology Services.
  - 3.1.7.3 Electronic documentation of a RMA system shall identify system hardware and software; formal file naming conventions, back up and security procedures, identification of the sources and use of the information as well as its confidential and non-confidential status, and an outline of quality control procedures and storage requirements.
- 3.1.8 In accordance with these schedules, each division is responsible for identification of College records created as part of its operations and assignment of each type of record to the corresponding Item Number on the Schedule 155 or Nebraska Schedule 24. A representative from the division, typically a department head, will provide written documentation of said information to the Communications Supervisor who then adds it to the Northeast master Records Management Inventory document.
- 3.1.9 In accordance with the retention criteria noted in the NCCA Schedule 155 or Nebraska Schedule 24, each division will identify

records that reach the end of their retention period and are eligible for destruction. Such records are listed on a Records Disposition Authorization form. Any differences in retention requirements between the NCCA Schedule 155 and associated Federal requirements impacting higher education will be resolved by the Executive Director of Business Services and the respective division representative prior to completion of the Record Disposition Authorization form. The Records Disposition Authorization form is forwarded to the Communications Supervisor.

- 3.1.10 If the division does not own the copy of record, that is, the copies are considered to be non-record records, the department may dispose of the records according to FERPA, PCI DSS, HIPPA or other relevant guidelines, with no further action necessary. Examples include blank forms, duplicate copies of documents or emails, convenience copies of publications, etc., for which the department is not the office of record. Any materials with no informational value such as envelopes, routing slips, telephone messages, etc. are also to be discarded. Non-record records with confidential information are to be shredded or destroyed by another acceptable method.
- 3.1.11 The Communications Supervisor provides oversight and makes arrangements for destruction of the identified records, including coordination with Technology Services staff for the destruction of electronic records, and also has responsibility to report records identified for destruction to the State of Nebraska Records Administrator. A Records Disposition Report is completed and provided to the State Records Administrator by the Communications Supervisor.
  - 3.1.11.1 The originating department will remove all hanging folders, binders, rubber bands, binder clips, etc., from records identified for destruction, placing the records in a container(s) labeled with a copy of the Records Disposition Authorization form.
  - 3.1.11.2 All electronic records shall be disposed of in a manner that ensures protection of any sensitive, proprietary or confidential information. Magnetic recording media previously used for electronic records containing sensitive, proprietary or confidential information shall not be reused if the previously recorded information can be compromised in any way by reuse.
- 3.1.12 The Communications Supervisor maintains the Records Disposition Tracking record. This record provides documentation of records

that have reached the end of their retention period, authorization to destroy those records, quantity, date of destruction, and date of notification to the State.

- 3.1.13 Many computer systems have storage limitations, so that only 60 to 90 days of electronic messages may be stored before operational problems are experienced. Electronic messages that shall be maintained in electronic format past that time can be downloaded to other magnetic or optical storage medium. The retention period for the particular series is the best indicator of which storage medium to use.
- 3.1.14 Records that are no longer subject to retention may need to be retained due to otherwise unusual circumstances such as litigation, government investigation or historical value.
  - 3.1.14.1 Records will be preserved in accordance with court rules in the event of anticipated or actual legal action. This preservation of identified records, known as a litigation hold, will be communicated to the department responsible for the record. Such records will be preserved until the legal action is resolved and the College has been notified by legal counsel that the records are no longer needed. A litigation hold supersedes all actions otherwise stated in this Administrative Procedure.
  - 3.1.14.2 For records requiring a review of, or transfer to the Nebraska State Historical Society (State Archives), the Director of Public Relations and, if applicable, division representative, is responsible for identification of historical records in accordance with the State of Nebraska guidance. The Communication Supervisor will contact the State Archives to negotiate the transfer as well as retain documentation of the transfer of records.
- 3.2 For records not stored within a respective division, a Records Transfer form will accompany records transferred to the Central Records Storage area. The Records Transfer form lists department ownership information, the contents of the container, and date the contents can be destroyed. The Communications Supervisor will secure confirmation from the originating department to destroy the archived material once it has reached the end of its retention period.
- 3.3 All forms referenced in this policy are located on the College network.

#### 4. APPLICABILITY

N/A

**ISSUE DATE:** 05/27/2015

**EFFECTIVE DATE:** 05/27/2015

**REVISION DATE(S):** none

**PRIOR POLICY/PROCEDURE NUMBER:** none

**SCHEDULE FOR REVIEW:** 2020

**DIVISIONS/DEPARTMENT RESPONSIBLE FOR REVIEW & UPDATE:**

Administrative Services

**SPONSORING DIVISION/DEPARTMENT:** Administrative Services

**RELATED PROCEDURES/REFERENCES:** none

**PROCEDURE KEY WORDS:** Records, retention, historical, archival, destruction, disposition, HIPPA, FERPA, PCI, litigation, confidential, electronic