



THE UNIVERSITY of
NEW ORLEANS

Policy No: AP-OP-15.2
TITLE: Record Retention Policy
EFFECTIVE DATE: March 7, 2014*
(*Policy Revised, see below)
CANCELLATION:
REVIEW DATE: Spring 2018

ADMINISTERED BY: Office of the President

PURPOSE

Establish an efficient and economic system of records management which will facilitate the use, storage, and disposal of *University Records* in order to meet regulatory requirements, optimize use of space, minimize cost, preserve the history of the University, and to dispose of outdated records.

AUTHORITY

LA R.S. 44:1, et seq., LA R.S. 44:411, et seq., University of Louisiana System Policy and Procedure Memorandum M-17 (Records Retention and Litigation Hold).

OBJECTIVE

To establish and maintain a system of records management which will facilitate the use, maintenance, retention, transmission, preservation, and disposal of University Records.

DEFINITIONS

1. Records Retention Officer- designated personnel within main functional units of the University that are responsible for the collection, maintenance, and integrity of *University Records* for that specific area.
2. Non-Record – materials that do not contribute to a department’s operations or decision-making processes, or have a substantial administrative/operational value. **Non-record materials may be disposed of when no longer needed.** Examples include: extra copies of official records retained elsewhere that serve as convenience copies kept solely for ease of access and reference; information/reference copies of records sent to individuals or departments that are interested in, but not acting upon, the information; and technical reference documents needed for general information.
3. Office of Record- Department, office, or unit that is responsible for maintaining the official record copy of the material.
4. Permanent Record - records which are maintained in perpetuity.

5. Personal Papers- records **not** prepared for, or related to, official business transactions. Examples include: privately purchased books and publications that do not relate to official business; papers accumulated by an employee prior to employment with the department; and diaries and journals not prepared for official business transactions.
6. Records – all documents, papers, letters, books, drawings, maps, plats, photographs, magnetic or optical media, microfilm, microphotograph, motion picture film, or other document or any other material, regardless of physical form or characteristic, generated or received under law or in connection with the transaction of official business, or preserved by an agency or political subdivision because of other informational or legal value. Excluded from this definition: library and museum material developed or acquired and preserved solely for reference or exhibition purposes; extra copies maintained for convenience in reference or stocks of standard publications; or processed documents.
7. Records Management - the systematic application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposal of records for the purpose of reducing costs and improving efficiency of records keeping. Records Management includes management of filing and microfilming equipment and supplies; filing and information retrieval systems; files, correspondence, reports, and forms management; historical documentation; micrographics; retention programming; and vital records protection.
8. Records Retention Schedule – forms completed by Records Retention Officers prescribing, for each unique record series, the length of time to be maintained both in the office and in storage, as well as the codes for the security status, archival and vital record identification.
9. Records Series- group of related or similar records, regardless of medium, that may be filed together as a unit, used in a similar manner, and typically are evaluated as a unit for determining retention periods.
10. University Records - any tangible recording of information, regardless of the means of recording, relating to the conduct of University business that is prepared, owned, used, or retained by an operating unit or employee of the University. *University Records do not include:*
 - *Materials preserved or appropriate for preservation because of the historical value of the materials;*
 - *Library books, pamphlets, newspapers, or museum material made, acquired, or preserved for reference, historical, or exhibition purposes;*
 - *Personal papers, manuscripts, letters, diaries, pictures, biographies, books, and maps, including materials and collections previously owned by persons, organizations, etc. other than the state or any political subdivision thereof and transferred by them to the University.*

GENERAL POLICY

This policy establishes processes for the retention and disposal of *University Records*, in accordance to Louisiana R.S.44:411 and outlines the roles and responsibilities associated with each process. This policy is applicable to all University employees who create, maintain, and/or dispose of *University Records*.

PROCEDURE

University Records are categorized and grouped according to the functional purpose they serve. Records Retention Officer, as defined in AP-AA-17.2, *Data Classification and Data Security* are designated personnel, within the University's main functional units, responsible for the collection, maintenance, and integrity of the data for their specific area. Records Retention Officers are advised to seek direction from the appropriate University administrative units, the Records Management Officer, and University of Louisiana System Vice President for Administration and General Counsel, to ensure accuracy and completeness throughout the Records Retention Process.

- 1. RECORDS RETENTION SCHEDULES.** Records Retention Officers must ensure a Record Retention Schedule has been submitted for all unique record series of *University Records* under their control. Care should be taken by Records Retention Officers to ensure *non-records* are not included on Record Retention Schedules.
 - A. SETTING RETENTION PERIODS.** Records Retention Officers must ensure compliance to all applicable laws and regulations for each unique record series under their control. In the absence of a controlling law, regulation, or policy, Records Retention Officers may create their own retention period schedules in accordance with their functional unit's needs.
 - B. CLASSIFYING DATA.** As defined in AP-AA-17.2, *Data Classification and Data Security*, Records Retention Officers are responsible for classifying data for their functional unit. Records Retention Officers are advised to seek direction, as needed, from appropriate University administrative units, the Records Management Officer, and University of Louisiana System Vice President for Administration and General Counsel.
 - C. SUBMITTING SCHEDULES.** Completed schedules are submitted by the Records Retention Officer to the Records Management Officer for review. Once approved by the Records Management Officer, the Records Retention Schedules are officially submitted to the Louisiana Secretary of State, Division of Archives by the University's Records Management Officer. Updates (additions/deletions) to Records Retention Schedules are conducted during the Records Management Officer's annual review, which is discussed in Procedure 3 A of this policy.
- 2. RECORD DISPOSAL.** Once a Records Retention Officer's Records Retention Schedule has been approved by the state, that functional area should begin the process to dispose of the records that have met the retention requirements indicated on their schedule. The University is required to get authorization to dispose of records from the State Archives before actually disposing of the records and to report that disposal has occurred.
 - A. EXPIRATION OF RETENTION PERIODS.** Review of upcoming retention period expiration dates will be included in the Annual Review Record Retention Schedules, which is discussed in Procedure 3 A within this policy. *Non-records* may be disposed of at the discretion of the record keeper.
 - i. DELAY OF DISPOSAL-FURTHER RETENTION NEEDED.** Once the retention period set forth in the Records Retention Schedule has expired, the *University Records* must be disposed in accordance with this policy, unless:

- The individual or unit is aware of a new applicable state or federal law that requires that the *University Record* in question be retained for a longer period than set forth in the Retention Schedule; or
- The *University Record* has been requested pursuant to the Louisiana Public Records Act;
- The *University Record* has been requested in any legal proceeding or are deemed likely to be requested in any legal proceeding, as determined by University of Louisiana System Vice President for Administration and General Counsel;
- The *University Record* is needed to perform current or future activities in support of the administrative functions for which an operational unit is responsible.
- The *University Record* contains evidence of legally enforceable rights or obligations of the University; or
- The *University Record* is needed to fulfill statutory and regulatory requirements or a business purpose of the unit.

If any record is still required by the University, the Records Management Officer will designate the records to be retained by noting the new disposal date requested and the reason for the extended retention.

- B. REQUEST TO DISPOSE:** Prior to the disposal of *University Records*, the Records Retention Officer must complete an Authority to Dispose of Records form and submit to the Records Management Officer for review. Once approved by the Records Management Officer, the Authority to Dispose of Records form is officially submitted to the Louisiana Secretary of State, Division of Archives.
- C. CERTIFICATION OF DESTRUCTION.** Once a Request for Disposal has been approved by the state, the Records Retention Officer is required to complete a Certificate of Destruction and submit to the Records Management Officer for review. Once approved by the Records Management Officer, the Certificate of Destruction form is maintained with the corresponding approved Authority to Dispose of Records form.
- D. ACCEPTABLE MEANS OF DISPOSAL.** *University Records* approved by the state for disposal must be destroyed by shredding or for computer disc, crushing/degaussing.

3. MAINTENANCE OF RECORDS RETENTION SCHEDULE

- A. ANNUAL REVIEW OF SCHEDULES.** On an annual basis, the University Records Management Officer conducts a review of all approved Records Retention Schedules to determine if any changes have occurred operationally or legislatively. In addition, the University Records Management Officer will work with each Records Retention Officer to determine the following:
 - i. NEW RECORD SERIES.** Identification of any newly created series of *University Records* that cannot logically be included in any existing records series. If approved by the Records Management Officer, the corresponding Records Retention Schedule for that new record series is submitted to the State Archivist.
 - ii. EXPIRATION OF RETENTION PERIOD.** Identification of *University Records* for which the prescribed retention period has expired. If approved by the Records Management Officer,

the Authority to Dispose of Records form is submitted to the State Archivist. (*Non-records* may be disposed of at the discretion of the record keeper.)

B. FIVE YEAR RENEWAL. The Records Management Officer submits the necessary documentation to renew each Records Retention Schedule, ninety (90) days prior to the five (5) year anniversary of a schedule's approval.

4. SAFEGUARDING RECORDS. Access to confidential and sensitive records must be limited to authorized personnel, as well as adequately secured, as defined in *AP-OP-07.2, Identity Theft Prevention Program*.

5. PUBLIC INFORMATION REQUESTS. Access to public records pursuant to the Louisiana Public Records Act (La. R.S. 44:1, *et seq*) and Article XII, Section 3 of the Louisiana Constitution must be forwarded to University of Louisiana System Vice President for Administration and General Counsel *immediately*. For details, please refer to *AP-OP-08.2, Public Record Requests*.

RESPONSIBILITIES

Records Retention Officers are responsible for identifying all *University Records* within their functional unit; submitting Record Retention Schedules/Authority to Dispose of Records forms; conducting annual reviews of all approved Records Retention Schedules to determine if any changes have occurred operationally or legislatively; and ensuring all disposal of records are conducted in accordance with this policy.

Department Chairs and Office Managers are directly responsible for the production and management of records within their offices.

Records Management Officer is responsible for reviewing and submitting Record Retention Schedules and Authority to Dispose of Records forms; and submitting the necessary documentation to renew the University's Records Retention Schedule, ninety (90) days prior to the five (5) year anniversary of a schedule's approval.

Vice Presidents, Deans, and Directors have supervisory responsibility for the production and management of records within their administrative/college offices and divisions.



John W. Nicklow
President
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*Policy Updates:
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