Establishing a Records Management Committee

October 6, 2016

UTAH VALLEY
UNIVERSITY

About UVU

- Began in 1941 as Central Utah Vocational School
- Became an official university in July 2008
- 34,977 student enrollment (Fall semester 2016)
- UVU is currently the largest publicly funded higher education institution in Utah
- Enrollment is projected to be approximately 46,500 by 2026
- 6,089 full & part-time employees (as of 9/27/16)

UVU Records Committee

- Academic & student affairs
- Employees
- Finance, planning & budgets
- Purchasing & facilities planning
- Motor vehicles & airplanes
- Educational research
- Alumni & development
- University relations & marketing
- Historical
- Executive

UVU's Record Policy Vision

- To create a basic record retention policy that:
  - Refers to a comprehensive record retention reference manual (outside the policy) that can be updated easily
  - Incorporates existing federal and state record retention policies (FERPA, HIPAA, etc.)
  - Compliments and incorporates our existing electronic records policy
  - Is easy for UVU employees to access, understand, and comply with
  - Incorporates the existing Utah State Archives record retention policies wherever possible

Record Retention Policy Committee

- Associate VP/Records Officer (Policy Sponsor)
- GRAMA / Record Retention
- General Counsel
- Paralegal
- Policy Officer
- Registrar
- Associate Professor
- HR Director
- Digitization/Archives Librarian
- Information Technology?

UVU's Approach – Step 1

- Solicit the help of individuals in each department that *know* the records they create
  - ◦ Notify department heads and get buy in
  - ◦ Ask department heads to identify the appropriate individual(s) to represent the department's records
  - ◦ Notify individuals of upcoming training and responsibilities

UVU's Approach – Step 2

- Set up <u>MANDATORY</u> training for department contacts that includes:
  - ◦ Brief overview of project & timing
  - ◦ Training on what records are (and aren't)
  - ◦ Discussion on how to identify records (record identification matrix)
  - ◦ Questions/comments
  - ◦ Next steps
- Meeting to coordinate with IT
- Training was co-developed and presented with Rae Gifford from the Utah State Archives

UVU's Approach – Step 3

- Provide record identification matrix to each department for completion
    - Created from all relevant items in the record retention schedules on the Utah State Archives webpage
    - Not comprehensive
    - Includes existing UVU record retention schedule for review and confirmation
    - Includes blank "catch all" schedule

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UVU's Approach – Step 4

- Review matrices for completion and open items
- Set up one-on-one meetings with each department to:
  - Provide additional training
  - Clarify matrix responses
  - Discuss questions/concerns

UVU's Approach – Step 5

- Finalize record retention matrices for each department
- Assign record retention periods to each record
  - Use Utah State Archives existing record retentions wherever possible
  - Work with Utah State Archives to approve UVU specific record retentions

UVU's Approach – Step 6

- Convert final record retention matrices to an electronic quick reference manual
- Submit record retention policy to policy committee for comment and adoption
  - Could take up to 1 year

UVU's Approach – Step 7

- Once adopted, implement new record retention policy
  - Could take 1-3 years depending on resources
  - Will likely require a full-time records employee to oversee
  - Will use internal audit to assess compliance

Challenges

▸ Commitment from all involved

▸ Volume is overwhelming

▸ Email!!!!!!

▸ Identifying *all* records

▸ Locating *all* records

▸ Bundled files

▸ Constant growth and change

▸ Ownership

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