



University Records Management

Policy Title: University Records Management

Policy Type: Administrative

Policy Number: #33-04 (2021)

Approval Date: 11/04/2021

Responsible Office: Library Administration and Harrison B. Wilson Archives

Responsible Executive: Dean, Library Services

Applies to: All University Employees

POLICY STATEMENT

This policy establishes the general responsibilities for management, retention, and disposition of Norfolk State University records as mandated by the Virginia Public Records Act (VPRA), Code of Virginia § 42.1-76–§ 42.1-91.

The University is committed to effectively managing its records, regardless of media type, by adhering to best practices and following a systematic and logical plan developed by the organizational units that maintain the records. The successful implementation and ongoing effectiveness of this policy is dependent on the cooperation of each employee to ensure that permanent records are preserved and non-permanent records are destroyed in a timely and orderly manner.

Major considerations in records retention and disposition are:

- Legal requirements must be met.
- Audit requirements must be met. This includes the university's ongoing internal audit program as well as the requirements of the Auditor of Public Accounts, and other external agencies.
- Limitations of space. The university has very limited storage space. Departments/offices are restricted as to both the volume of records that can be maintained, and the duration for which records may be stored.
- Historical and research information about the university must be preserved. In addition, records with historic value should be kept in a manner that makes them readily accessible to researchers.

The policy will provide guidance for achieving the following objectives:

1. Comply with the Virginia Public Records Act (VPRA), Code of Virginia § 42.1-76–§ 42.1-91, which governs the creation, maintenance, and disposition of public records.
2. Develop and implement procedures, guidelines, systems, and business practices that aid the creation, backup, preservation, filing, storage, and disposal of records of all formats.
3. Create a network of personnel throughout the University, trained to manage records of all types.
4. Reduce risks associated with unintended disclosure of sensitive information.
5. Protect historical and research information about the University.

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DEFINITIONS

Archival records: Records of historical value, which are kept permanently will be deposited in the Archives. Archival records should to the maximum extent possible be original records.

Certificate of Record Destruction: Also known as a RM-3, the document approving the destruction of records in accordance with Library of Virginia Records Retention and Disposition Schedules.

Confidential Records: Public records that are restricted from disclosure by statute, court order, or legally adopted rules and regulations are considered confidential. University records that are deemed confidential are still considered to be public records, even though they are not publicly available. The University records management procedures will contain references to all applicable regulations and statutes affecting its records.

Copy of Record: The “copy of record” shall be interpreted to mean the “official” copy of a particular public record, with no regard as to whether it is an original, copy, or reformatted version. All offices/departments within the university shall work with the designated Records Manager to establish in writing the ownership of and responsibility for copies of record.

Current Records: Records needed to conduct the daily business of the university. Current records must be maintained in appropriate filing or retrieval equipment for immediate access in a working office.

General schedule: A retention and disposition schedule that applies to records that state agencies (or localities) have in common. The Library of Virginia creates all General Schedules for Virginia State Agencies. General Schedule 111 is the schedule for records of state colleges and universities in the Commonwealth of Virginia. Norfolk State University adheres to this schedule.

Non-current Records: Records not needed to conduct business and have no further use to the originating office or department. If non-current records have historic value, they should be transferred to the Archives, where storage will be arranged. See **Destruction and Disposal of Records**. If disposable, the records should be destroyed or disposed of in accordance with an approved records retention and disposition schedule.

Original record: The first generation of the information which is the preferred version of a records. In cases where the original copy has been sent outside of the university, the institution copy that resides in the originating office is to be treated as the original records. The requirement for records retention and disposition schedules relates specifically to original records.

Records: All media that contain language, numeric, graphic or other information that are created or received during the course of university business. Record content, not its medium, determines whether a record constitutes a public record. Records may be in a variety of formats, including paper, email, databases, microform, electronic media, websites, photographic, audio, motion picture or video recordings. Retention schedules are applied regardless of format.

Records Coordinators: Individuals who serve as liaisons between the University Records Manager and their respective department/office.

Records management: The economical and efficient administrative process for managing information throughout its life cycle; from creation to its final designated disposition (destruction or preservation). It also is a process of maintaining information in a format that allows for its timely access.

Records retention schedule: An approved timetable stating the retention and disposition of specific records.

Semi-current Records: Records not required for immediate access, but retained for information, audit, or legal purposes. When possible, semi-current records should be retired from storage in working office space and moved to a designated storage area. Some semi-

current records, such as certain student and personnel records are permanent in nature.

Stakeholders: All employees of the University. Employees include all staff, administrators, faculty, full- or part-time, and classified or non-classified persons who are paid by the University.

Records storage facility: A facility used for temporary storage of inactive, non-permanent records during the required retention period until properly documented and disposed of.

CONTACT(S)

The Dean of Library Services and the Assistant Archivist (University Records Officers) officially interprets this policy. The Dean of Library Services is responsible for obtaining approval for any revisions as required by [BOV Policy # 01 \(2014\) *Creating and Maintaining Policies*](#) through the appropriate governance structures. Questions regarding this policy should be directed to Library Services and the Harrison B. Wilson Archives.

STAKEHOLDER(S) All University Employees

UNIVERSITY RECORDS MANAGEMENT: POLICY CONTENTS

Departments, offices and all employees are responsible for the storage of public records that they generate and receive. Current records should be maintained in appropriate filing or retrieval equipment; such as file cabinets, for immediate access in the office. Records should also be filed alphabetical, and via fiscal year. Different types of records must be retained for varying amounts of time before they can be destroyed. No public records may be destroyed without approval of the Records Officer, and the submission of Certificate of Records Destruction form.

Procedures:

Using the appropriate General Schedule, as outlined in the LVA Records Management Policy, departments will annually review their records' inventory to determine how long records must be retained or destroyed. Copies of General Schedules are available from the Library of Virginia Records Management Services Website:

<http://www.lva.virginia.gov/agencies/records>

Responsibilities:

The University Records Manager is responsible for administering the Records Management Program in accordance with state law and university policy. The Records Manager ensures that records appraisals and records retention and disposition schedules are systematically updated, maintained, and enforced. In addition, the Records Manager periodically evaluates and reports the program's progress and achievements to management.

All offices, departments, and employees that generate, receive or maintain public records as defined above are responsible for preparing the certificates of records destruction for the

records. They are further responsible for compliance with procedures regarding records storage and destruction as established by this policy.

Each department will be required to appoint a record coordinator, who will be provided ongoing training on records management from the University Records Officers and/or LVA designated Records Analyst.

Any records that are a part of University audit or legal proceedings will be exempt from the records retention process until such actions are resolved.

Records Storage:

All offices and departments must contact the Records Officer before transferring any records for storage. To meet this requirement, the office or department must submit a Records Transfer/Storage form to the Records Officer for approval. All University records must be stored in properly labeled standard records center boxes (15" x 12" x 10") using the records storage label. The University records label will contain the following information: box#, office/dept., content, fiscal year, and destroy date. While there is no current central location for University records storage, all University records will be stored at one central location, whether it is on or off campus. Therefore, all departments must report the location and retrieval method of their records to the Dean of Library Services. If records are of a confidential nature, they should be stored in a secure area that is locked and has controlled access for select personnel only. Strict procedures must be in place for retrieval, use, and re-filing of confidential records. Access to confidential records in electronic formats will be limited by assigning appropriate log-in credentials.

Current, semi-current, and non-current record files will be organized alphabetically, via fiscal year. Prior to off-campus records storage, approval will be required from the Dean of Library Services. See: Records Storage form.

Retrieval from Storage Site:

All offices and departments must contact the Records Officer before retrieving any records from storage. The office or department must submit a Records Retrieval Request form to the Records Officer for approval. Records will be released only to office personnel from which they were received. Only personnel from the office that originated the records will have access to the records of that office. If an employee does not work in the office/department where the records originated, he or she must have written permission from the head of the office/department. If an unanticipated problem arises, an office/department can request that its records be returned on a temporary basis.

Destruction and Disposal of Records:

The Certificate of Records Destruction (RM-3) form must be used to obtain permission to destroy records. All offices and departments must contact the Records Officer before destroying any original files. To meet this requirement, the office or department must submit a RM-3 to the Records Officer for review. Contact the Records Officer for instruction on filling out the RM-3. Instructions may also be obtained from the Library of Virginia Records

Management Services Website: <http://www.lva.virginia.gov/agencies/records>

The Records Officer will review the completed RM-3 for adherence to approved records retention and disposition schedules. The Records Officer will not approve of the destruction if there is pending litigation, audit, investigation, or renegotiation of the relevant records retention and disposition schedule pending at the expiration of the retention period for the applicable records series.

After approving the form, the Records Officer will notify the department to proceed with the destruction of the records. At the discretion of the Records Officer, records thought to be of possible historical value will be made available to the Records Officer for review prior to being destroyed.

Most records can be destroyed simply by throwing the records away or disposing of the records in the university's recycling system. In some cases, however, the records must be destroyed by burning or shredding under the supervision of a university employee. Electronic Records must be overwritten with meaningless data or the storage media must be physically destroyed. The General Schedules state which records must be destroyed in this manner. Regardless of the method, the department that owns the records must assure that they are destroyed in a proper manner, and that all destructions are reported to the Records Manager, who in turn notifies the Library of Virginia.

EDUCATION AND COMPLIANCE

NSU employees are required to view two online training videos in Records Management annually. The training videos will familiarize employees with basic records management requirements. The established completion schedule for the annual records management training is April 1st through June 30th. The records officer will send an email to all employees in mid-March, including instructions for viewing the videos and verification. An auto read reply will be incorporated in the email. NSU employees will confirm completion of records management training by clicking on the auto read indicating he/she has read the email, instructions, and viewed the videos. Failure to ensure that permanent records are preserved and non-permanent records are destroyed in a timely and orderly manner may result in noncompliance with periodic audits or some legal requirements.

PUBLICATION

Library of Virginia Records Management Services General Schedules
<http://www.lva.virginia.gov/agencies/records>

REVIEW SCHEDULE

- Next Scheduled Review: 11/04/2024
- Approval by, date: President: 04/16/2018; 11/04/2021
- Revision History: 02/22/2008; 04/16/2018; 05/16/2021

- Supersedes: Administrative Policy # 41-04 (2017) Financial Records Retention and Disposition

RELATED DOCUMENTS

Virginia Public Records Act, Code of Virginia 42.1-76 – 42.1-91
<https://law.lis.virginia.gov/vacode/title42.1/chapter7/>

FORMS

Library of Virginia Records Management Services (Forms)
Certificate of Records Destruction (RM-3)
<http://www.lva.virginia.gov/agencies/records>

NSU Records Management Storage Box Label

NSU Records Transfer/Storage Form

NSU Records Retrieval Request Form