



**Records Retention and Disposition Policy
For all departments**

Section: 1
Policy number: 1.4
Responsible Office: Administration and Finance
Issued: 8.19.2001
Latest Review: 03.2023

POLICY STATEMENT

This policy establishes the retention time for disposition of records.

REASON for POLICY

The purpose of the Records Retention and Disposition Policy is to establish and maintain a uniform records and information management program for the control, retention, storage, retrieval, and disposition of recorded information to comply with all statutory, regulatory, and administrative requirements governing the School of Medicine and Health Sciences (SMHS).

SCOPE of POLICY

√Deans, Directors, and Department Heads	√Faculty
√Managers and supervisors	√Staff
Students	Others: _____

WEB SITE REFERENCES

Policy Office: <http://www.med.und.edu/policies/index.cfm>
Responsible Office: <http://www.med.und.edu/administration-finance/records-and-information-management/index.cfm>

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DEFINITIONS

Department	All academic and administrative departments and offices
Records Coordinator	Person responsible for the information management needs of a department and ensuring that proper retention periods are enforced for the individual record
Associate Director-Records and Information Management	The person who is part of the Administration and Finance Office at the SMHS and is responsible for the records and information management program.
RIM	Records and Information Management
SMHS	School of Medicine and Health Sciences

RELATED INFORMATION

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CONTACTS

General questions about this policy can be answered by your department's administrative office. Specific questions should be directed to the following:

Subject	Contact	Telephone/FAX	Office/Dept
Policy clarification	Dean's Office	701.777.4874	susan.carlson@UND.edu
Policy format	Dean's Office	777.2514/777.3527	judy.solberg@UND.edu

PRINCIPLES

OVERVIEW-- This policy establishes the retention time for disposition of records, either destruction or the transfer of historical records to the University Archives.

- I. Records, documents, and information created by and created for the SMHS are the sole property of the SMHS. Records should be retained in active office areas only as long as they serve the immediate administrative, legal, academic, research, and fiscal purposes for which they were created. The records manager for the SMHS will be responsible for developing the retention schedule for the SMHS. The retention schedule will be reviewed by the records manager and each department then submitted to the North Dakota University System and North Dakota Information Technology Records Management for approval.

PROCEDURES

- I. The retention schedule specifies the criteria for the management of active records, provides for the systematic transfer of inactive records from the active storage areas to inactive storage areas, specifies the length of time records need to be maintained, and establishes

the proper disposition method, either destruction or transfer of the historical records to the University Archives, for those obsolete records.

The Records Manager will work with departments to train employees on the Records and Information Management Program and to assist them with the implementation of the Records Retention and Disposition Policy.

The SMHS's Records and Information Management Program and Records Retention and Disposition Policy are of little benefit unless applied consistently and are kept up-to-date. Each department will designate a records coordinator for the department. The records coordinator will be responsible for the information management needs of the department and for ensuring that proper retention periods are enforced for the individual records. Each department is responsible for regularly reviewing the records and notifying the records manager of any needed updates or revisions to the retention schedule. The records manager will audit the Records and Information Management Program periodically.

Information concerning litigation or investigations, of any kind, received by any member of the SMHS, should be given immediately to that person's supervisor who should then inform the records manager of the SMHS. The records manager will notify the Dean's Office and legal counsel. Upon notification, the records manager will suspend destruction of all pertinent records until notification in writing.

RESPONSIBILITIES

Department	<ul style="list-style-type: none"> ● Review and provide input into the retention schedule for the SMHS ● Designate someone from the department to be the department's records coordinator; and review regularly the records and notify the records manager of needed changes
Records Coordinator	<ul style="list-style-type: none"> ● Responsible for the information management needs of the department and ensuring that proper retention periods are enforced for the individual record
Records Manager	<ul style="list-style-type: none"> ● Responsible for developing the retention schedule for the SMHS ● Implement the records retention schedule ● Notice the Dean's Office and general counsel to any issues involving litigation or investigations ● Audit the records and information management program periodically

FORMS

SMHS Records retention schedule	https://med.und.edu/about/administration-finance/records-and-information-management/files/docs/smhs-retention-schedule.pdf
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