



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

Section: 1
Policy number: 1.4
Responsible Office: Administration and Finance
Issued: 05.11.12
Latest Review: 05.30.17

POLICY STATEMENT

This policy establishes the retention time for disposal of records.

REASON for POLICY

The purpose of the Records Retention and Disposition Policy is to establish and maintain a uniform records management program for the control, retention, storage, retrieval, and disposal 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 ensuring that proper retention periods are enforced for the individual record
Records Manager	The person who is part of the Administration and Finance Office at the SMHS and is a member of the Executive Records Management Committee
RIM	Records and Information Management
SMHS	School of Medicine and Health Sciences

RELATED INFORMATION

Executive Records Management Committee Membership	Dean of the SMHS, Chair; Records Manager; Associate Dean for Administration and Finance; Senior Associate Dean for Education and Faculty Affairs; Associate Dean for Student Affairs and Admissions; General Counsel; and one department chair appointed by the Dean
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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	777.3783/777.4874	susan.carlson@med.und.edu
Policy format	Dean's Office	777.2514/777.3527	judy.solberg@med.und.edu

PRINCIPLES

OVERVIEW-- This policy establishes the retention time for disposal of records.

- 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 each department and legal counsel and then be submitted to the Executive Records Management Committee 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 destruction method for those obsolete records.

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

The SMHS's Records 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 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 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 retentions 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 ensuring that proper retention periods are enforced for the individual record
Records Manager	<ul style="list-style-type: none"> ● Responsible for developing the retentions schedule for the SMHS ● Implement the records retention schedule ● Notice the records manager and general counsel to any issues involving litigation or investigations ● Audit the records management program periodically

FORMS

SMHS Records retention schedule	http://www.med.und.edu/administration-finance/records-and-information-management/retention-schedule.cfm
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REVISION RECORD

04.19.05—Dean Approved

08.04.17—Minor Edits