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: 05.17.2020

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 and information 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

v Deans, Directors, and Department Heads
v Managers and supervisors
v Students
v Faculty
v Staff
v Others:_________

WEB SITE REFERENCES

Policy Office: https://med.und.edu/policies
Responsible Office: https://med.und.edu/education-faculty-affairs
DEFINITIONS

<table>
<thead>
<tr>
<th>Department</th>
<th>All academic and administrative departments and offices</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Coordinator</td>
<td>Person responsible for ensuring that proper retention periods are enforced for the individual record</td>
</tr>
<tr>
<td>Records Manager</td>
<td>The person who is part of the Administration and Finance Office at the SMHS and is a member of the Executive Records Management Committee</td>
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<tr>
<td>RIM</td>
<td>Records and Information Management</td>
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<tr>
<td>SMHS</td>
<td>School of Medicine and Health Sciences</td>
</tr>
</tbody>
</table>

CONTACTS

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

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Telephone/FAX</th>
<th>Office/Dept</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy clarification</td>
<td>Dean’s Office</td>
<td>777.278.36122/777.4874</td>
<td><a href="mailto:susan.carlson@UND.edu">susan.carlson@UND.edu</a></td>
</tr>
<tr>
<td>Policy format</td>
<td>Dean’s Office</td>
<td>777.2514/777.3527</td>
<td><a href="mailto:judy.solberg@UND.edu">judy.solberg@UND.edu</a></td>
</tr>
</tbody>
</table>

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 North Dakota ITD Records management and then routed through the Records Management Task Force for appraisal.
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 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 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 open records requests, 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 notify the Chief of Staff in the Dean’s Office, UND General Counsel, and SMHS Records and Information Management and Records Manager. 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       | ● 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 | ● Responsible for ensuring that proper retention periods are enforced for the individual record |
| Records Manager   | ● Responsible for developing the retentions schedule for the SMHS  
|                 | ● Implement the records retention schedule  
|                 | ● Notice the Office and General Counsel, to any issues involving litigation or investigations  
|                 | ● Audit the records management program periodically |
REVISION RECORD

04.19.05—Dean Approved
08.04.17—Minor Edits