

RECORDS AND INFORMATION MANAGEMENT

POLICY NUMBER: ADM-RECORDSINFOMGMT

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: PROVOST & EXEC. VICE PRESIDENT FOR ACADEMIC & STUDENT AFFAIRS; UNIVERSITY RECORDS OFFICER

RESPONSIBLE OFFICE: PROVOST & EXEC. VICE PRESIDENT FOR ACADEMIC & STUDENT AFFAIRS; SPECIAL COLLECTIONS & UNIVERSITY ARCHIVES/RECORDS & INFO. MGMT.

EFFECTIVE DATE: AR-II-8.0-3 RECORDS MANAGEMENT POLICY – 3/22/2006

MOST RECENT REVIEW: 2/8/2024

POLICY SUPERSEDED: RECORDS MANAGEMENT – 6/28/2021

NEXT REVIEW DATE: PREVIOUS REVIEW PLUS FOUR (4) YEARS – 2/8/2028

BOARD OF REGENTS REPORTING (CHECK ONE):

PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM)

PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

Northern Kentucky University is committed to promoting the effective and efficient operation of University business while also preserving the University's rich history and complying with records retention and destruction requirements set forth by all state and federal laws.

Every Northern Kentucky University employee/records custodian must follow the records management requirements for the records and information they create, use, and store. Records and Information Management training is a component of the University's annual employee compliance training. Administrators, department heads, and supervisors are responsible for ensuring employee compliance with records management policy and procedures.

As a public agency, the University is responsible for following the [State University Model Records Retention Schedule](#) (Schedule), approved by the State Libraries, Archives, and Records Commission, in the retention and destruction of public records. The Schedule is amended periodically; University employees should ensure they are following the most recent University Schedule (State) found at <https://kdla.ky.gov/records/RetentionSchedules/Pages/State-Government-Records-Retention-Schedules.aspx>.

Public records include "all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings and other documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained" by the University. ([KRS 171.410\(1\)](#)). Public records include electronic and physical records.

Northern Kentucky University's records and information must be maintained and be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the record's storage medium/format. Examples include, but are not limited to, preservation for audits or other fiscal reasons, proposed or pending litigation, administrative needs, or historically significant record(s).

Once retention requirements are fulfilled, non-permanent records are eligible for destruction. University employees must complete and submit a Records Destruction Certificate to a University Records Officer and obtain approval from them prior to records destruction.

Some permanent records are maintained by University Archives while some are retained by the creating office. University employees transferring permanent records to the University Archives should complete and submit a Permanent Records Transfer Request to the University Archives for approval prior to transferring records.

Failure by employees to meet the requirements of this policy may result in disciplinary action, up to and including termination of employment in extreme cases.

To assist University employees in applying this policy, additional help is located at the [University Records and Information Management](#) webpage. A tips page can be found at <https://inside.nku.edu/content/dam/policy/docs/OpenComment/RecordsManagementFAQDraft-2023.pdf>

II. ENTITIES AFFECTED

All Northern Kentucky University employees and others who create, manage, or retain Northern Kentucky University records regardless of their format.

III. AUTHORITY

Kentucky Revised Statutes:

- State Archives and Records ([KRS 171.410 to 171.740](#))
- Open Records ([KRS 61.870 to 61.884](#))
- Tampering with Public Records ([KRS 519.060](#))

Kentucky Administrative Regulation:

- Scheduling public records for retention and disposal; procedures ([Section 725 KAR 1:030](#))

IV. RESPONSIBILITIES

Provost and Executive Vice President for Academic and Student Affairs: Policy approval

Dean, Steely Library: General program oversight

University Records Officer: Reviews and approves record destruction certificates and permanent records transfer requests; serves as university representative and liaison member of Advisory Committee on University Records, Kentucky Department for Libraries and Archives

V. PROCEDURES

All Northern Kentucky University records and information must be maintained for the minimum retention time listed in the [State University Model Records Retention Schedule](#).

See the [University Records and Information Management webpage](#) for Northern Kentucky University procedures and forms for records destruction or records transfers.

VI. REPORTING REQUIREMENTS

The University Records Officer must provide proof of all Northern Kentucky University records destruction to Director of the Archives and Records Management Division, per [725 KAR 1:010, Section 2\(2\)](#). Records Destruction Certificates, completed and approved by the University Records Officer, serve as this proof.

VII. TRAINING

The Archives and Records Manager, Special Collections and University Archives department, Steely Library, creates and delivers Records and Information Management training in diverse formats as needed. New employee compliance training and mandatory annual refresher training are administered to all employees through Human Resources. Procedural training is available through University-wide and on-demand training offered by Records and Information Management, Special Collections and University Archives department, Steely Library.

VIII. COMMUNICATIONS

University Compliance Committee

IX. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

[Northern Kentucky University Records Destruction Certificate](#)

[Northern Kentucky University Permanent Records Transfer Request Form](#)

RELATED POLICIES

[Data Governance & Security](#)

[Research Data Management](#)

[Text Messaging](#)

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
Revision and name change	February 8, 2024
Deleted "Policy" from name and changed responsible office from IT	June 28, 2021
Updated hyperlinks & revision history	August 19, 2019
Review/Update/Conversion of AR-II-8.0-3 to Board-Approved Policy	August 1, 2013
Administrative Regulation AR-II-8.0-3 "Records Management Policy"	March 22, 2006

ACCEPTABLE USE

PRESIDENTIAL APPROVAL

President

Signature *Cady Short-Thompson*

Date *2/8/24*

Cady Short-Thompson

BOARD OF REGENTS APPROVAL

BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)

- This policy was forwarded to the Board of Regents on the **Presidential Report (information only)**.
Date of Board of Regents meeting at which this policy was reported: 3 / 12 / 24.
- This policy was forwarded to the Board of Regents as a **Presidential Recommendation (consent agenda/voting item)**.
- The Board of Regents approved this policy on ____/____/____.
(Attach a copy of Board of Regents meeting minutes showing approval of policy.)
- The Board of Regents rejected this policy on ____/____/____.
(Attach a copy of Board of Regents meeting minutes showing rejection of policy.)

SECRETARY TO THE BOARD OF REGENTS

Signature *Tammy Knochelmann*

Date *3/13/2024*

Tammy Knochelmann