

Institutional Records Policy
Draft – Last Revised June 27, 2001

PURPOSE

The purpose of this policy is to establish set of institutional requirements for the responsible management of University records.

SCOPE

This policy applies to all records created by University personnel. For the purposes of this policy, “university records” shall be defined as material in any format – including, but not limited to, paper, photographs, film, audio and video tapes, drawings, and electronic records – that are generated and received by administrative and academic offices of the University in the conduct of business. Records produced or received by any agency or employee of the University in the transaction of University business are the property of Indiana University.

STATEMENT OF AUTHORITY

Authority for this policy is derived from the University groups responsible for the effective management of IU’s information resources: the Committee on Institutional Data, the Committee of Data Stewards and the Indiana University Archives. This Committee on Institutional Data is comprised of vice presidents, deans and directors and is charged with establishing overall policy and guidelines for management and access to the institutional data resources of Indiana University. The Committee of Data Stewards is comprised of university and campus officials who have planning, policy and operational responsibilities for the management and use of institutional data. The Data Stewards, as a group, are responsible for recommending policies and establishing procedures and guidelines for university-wide management of institutional data. The University Archives, a division of the Indiana University Libraries, is authorized to establish and promulgate standards, procedures and techniques for the effective management of University records. It is also responsible for preserving the University’s documents and records of historical value.

STATEMENT OF BENEFITS

The implementation of sound records management practices and procedures for records results in a number of benefits: fulfill legal mandates, reduce costs for the retrieval of records, identify strategies for the preservation of records, reduce the costs of storing obsolete records, and ensure the creation and management of accurate and reliable records.

STATEMENT OF RESPONSIBILITY

Maintaining and providing access to records over time is a shared responsibility. Establishing and operating effective recordkeeping systems and practices requires a multidisciplinary approach. University offices shall make effective use of the necessary range of expertise available throughout the University. This includes expertise in archives and records management, information technology, data and information management, business system analysis and design, auditing, risk

management, and law.

REVIEW PROCESS

Departments, units, and administrative office designing or modifying recordkeeping systems shall consult with the University Archives at the start of these projects to discuss archival and records management requirements.

RELATED POLICIES:

See also the *Electronic Records Policy* and the *E-Mail as Records Policy* for the requirements for management of these specific types of records.

POLICY:

1) Records shall be created and captured for all defined University business functions and activities.

- For the purposes of this policy, records shall be defined as recorded information in any form created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

2) University records shall be maintained in reliable recordkeeping systems.

- Recordkeeping systems shall meet legal and administrative requirements, national and international standards, and best practices for recordkeeping.
- Recordkeeping systems shall have written policies, assigned responsibilities, and formal methodologies that fully and accurately document the overall management of the system.
- Recordkeeping systems shall include adequate system controls, such as audit trails, guidelines for classifying and filing records, and procedures for measuring the accuracy of data input and output.

3) Records shall be retained or disposed of in accordance with authorized and approved records retention schedules.

- Recordkeeping systems shall include an approved disposition plan.

4) Work processes and associated business procedures and tools shall support the creation and management of University records

- Recordkeeping shall be built into the defined business processes and the work environment thereby ensuring that records are captured, understandable and usable.
- Whenever possible, agencies shall create models of business processes to determine where and when records are created and used in the course of completing business transactions.

5) University records shall be inviolate and secure

- Records shall be protected from accidental or intentional alteration and from destruction while the record still has value.
- Only authorized personnel shall be permitted to create, capture or destroy University records.

6) University records shall be preserved without loss of any vital information for as long as required by law, policy or best practice

- Records shall be stored in controlled environments that preserve the record for as long as required. Technical specialists recommend a stable environment, with a temperature between 65 and 75 degrees and a relative humidity between 30 and 50 per cent.
- The future usability of records with long-term value shall be ensured through the development of reformatting strategies for copying records to a more stable medium and conversion strategies designed to update hardware, software and storage media.
- Recordkeeping systems shall manage and preserve for the useful life of the record both the content of the record as well as the associated metadata that defines or documents the record's content, context and structure.

7) Records shall be accessible and retrievable in a timely manner throughout their retention period

- Records shall be easily accessible in the normal course of all business processes.
- University records shall be searchable and retrievable for reference and secondary uses including audits, legal proceedings, and historical research.
- Training and user support programs shall be available to ensure that users can access and retrieve records.

8) Access to University records shall be controlled according to well-defined criteria

- Recordkeeping systems shall ensure that records are protected from unauthorized access.
- University offices shall take measures to prevent unauthorized access to private and confidential records by identifying private and confidential records and by defining the rules governing access to these records.