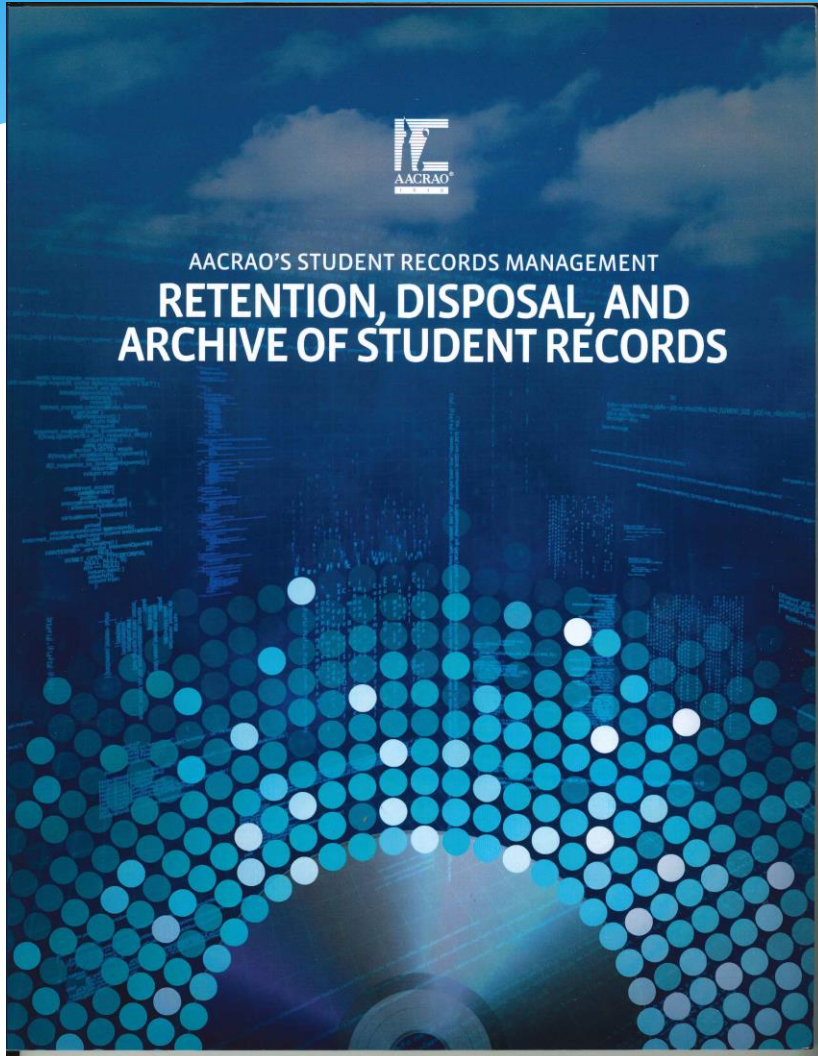


Should I Stay or Should I Go?



Presented by: Sarah Harris, University of Iowa
Diane Rupp, Iowa State University
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AACRAO's Student Records Management
Retention, Disposal, and Archive of Student Records

2013

Discussion points



- * Elements of Records Management
- * How, who and what
- * Governing Principles
- * Examples from our institutions/other resources
- * Opportunities
- * Open discussion

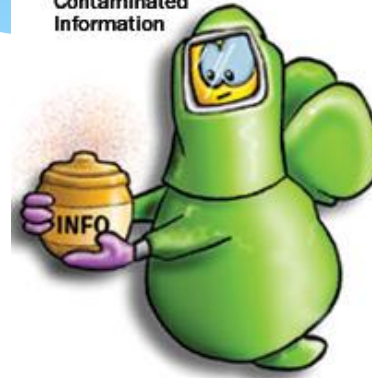
Elements of Records Management



**Evolving
Information**



**Contaminated
Information**



**Protecting
Information**



**Lost Customer's
Information**



**Disposing of
Information**



**Auditing
Information**



Cartoons by Don Lechner
Studio Mountain

Content of a Records Schedule

- Compliant
- Easy to manage
- Eliminate Redundancy
- Holistic Alignment of Practice and Policy
- Retention Period



Decisions need to be made about the retention period of documents which is dependent on which office function it belongs, the storage source, and the record type:

- Registrar document
- Admissions document
- Financial Aid document
- Collegiate/Department/Faculty & Instructors
- Advising
- Some other entity



Source:

Is it part of your Student Information System?

Is it stored electronically, microfiche, microfilm, or paper?

Document type:

Application for admission, supporting admissions documents (i.e. transcripts, letters of recommendation, etc.), test scores, registration transactions, demographic or biographic updates, final class lists, course offerings, catalog, and the list can go on...



Retention Period

There are only three!

Transactional
Semi-permanent
Permanent

Governing Principles

State or Province



Discipline Specific



At the University of Iowa, the **Financial Management and Budget Office** maintains the official records retention schedules.

The purpose of a retention schedule is:

- To provide an inventory of Official Records within the University
- To establish custodial responsibility for the various records.
- To provide a management tool outlining individual record retention and safekeeping requirements.
- To list which records are confidential, thereby requiring special handling for release.
- To list which records are vital and may require special handling procedures.

The University of Iowa's various, office specific, retention schedules can be viewed at: <http://fmb.fo.uiowa.edu/prior-departmental-records-retention>



At Iowa State University, the **Policies Office** is responsible for maintaining the Records Retention Policy.

There are three guiding purposes for this records retention policy:

- **Accountability.** This policy is written to assure compliance with state and federal law. As a public institution, the university has an obligation of accountability. By preserving university records, the institution documents its policies, actions and determinations.
- **History.** Key records of the institution document its history and its character.
- **Efficiency.** An appropriate records retention policy assures maintenance of records needed for ongoing operations. Conversely, records that are no longer useful should be discarded or archived to increase efficiency.

The url for ISU's records retention guidance and schedule is:

<http://www.policy.iastate.edu/policy/records>



Your office receives a request for all academic, disciplinary, medical, & psychiatric records. What is your office's response/reaction?

If your retention schedule states you do not have anything older than 5 years since the last date of attendance, do you have to provide documents if you still have them?

Does your office contact the students' departments or advisers to see what their files contain? Do you have to legally?

Other items

- Role that technology plays
- Security – Data Governance
- Shelf life issues – microfiche/microfilm
- How to keep you your schedule up to date
- Disposition – when and how

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