

## **Guidelines for Disposition of Records When a Campus, Department, or Unit is Decommissioned, Reorganized, or Terminated**

This guide is issued pursuant to Regents' Policy and University Regulation. Regents' Policy P05.08.022, University Regulation R05.08.022, and "Procedures for Disposition of Records When a Campus, Department, or Unit is Decommissioned, Reorganized, or Terminated." University Regulation R05.08.022, provides for the identification and protection of university records and information and delegate authority for record management to the Chief Records Officer (CRO). The CRO is specifically authorized to develop procedures for "... storage and retrieval of active, inactive, and permanent records while promoting appropriate accountability and transparency" R05.08.022 (E) (2). In addition, Regents' Policy P09.04.010 (A) requires the university comply with FERPA to "... protect the required confidentiality of and access to education records of current and former students."

University personnel must account for and maintain the security of all records physical or electronic in their care. It is of utmost importance that university records are protected from unauthorized access and disclosure. The following guidelines will assist you in ensuring that all records held by your campus/department are managed properly during and after the decommissioning, reorganization, or termination of your campus, department, or unit.

If a university campus, department, or unit is decommissioned, reorganized, or terminated the appropriate MAU Vice Chancellor for Administrative Services (VCAS) or designee shall ensure that physical records are retained, secured, and transferred to either the inheriting unit or the Major Administrative Unit (MAU) and are properly identified, boxed, and labeled. Electronic records must be successfully transferred to new servers or other electronic media (if applicable).

The VCAS will notify the CRO and Director of Internal Audit of any proposed decommissioning, reorganization, or termination and the unit that will inherit the responsibility for the records.

The VCAS will designate (in writing) an officer accountable for the security and proper handling of records and information. The officer will coordinate the transfer of records with the appropriate MAU VCAS.

### **General Guidance for Designated Officer**

1. You have overall accountability for the security and proper handling of university records and information.
2. You will coordinate the transfer of records with the appropriate MAU VCAS.
3. Ensure all records stored at home or on personal devices are transferred to campus/office/server folders so they may be managed during this process.

4. Review all hard copy records to see if they are copies of content (documents) contained in the University's Enterprise Content Management (ECM) (OnBase) or the Enterprise Resource Program (ERP) (Banner) systems. There is no need to retain hard copies of records stored in either the ECM or ERP systems; therefore, destroy the hard copy records following appropriate destruction procedures.
5. If your campus has records currently stored in a Records Center, inform your departmental Records Officer of the unit that will become responsible for the records and ask them to inform the records center to change the records accountability to that of the inheriting unit.
6. If records need to be sent to a records center, continue to use the soon to be obsolete unit's identification on the records transfer lists, as this will be updated to the inheriting unit's identification.
7. You will provide copies of all records transfer lists to the VCAS.
8. If you are transferring boxes of records to the inheriting unit's office, make sure that there is enough space for those boxes and that the allocated space/building structure is able to bear the weight of the boxes.
9. If you are unsure how many boxes you may need or need to estimate the space that you will require to store the records, use the volume conversion table at the end of this guidance document.
10. Ensure all employees who are no longer being retained by the University of Alaska set an out-of-office message informing people that they will no longer be working for the University of Alaska and include an alternative contact.
11. Destroy all records that do not need to be kept. This should be done in accordance with your unit's records retention and disposition schedule and the General Administrative Records Retention and Disposition Schedule.
12. Make a list of all the software packages that your campus uses, license agreement dates, administrator login details for the relevant staff in the inheriting MAU.

## **Paper Records**

If you are putting records into storage boxes, which will either be sent to a records center or transferred to another unit office, ensure that the boxes are labeled appropriately. Use the guide

that follows on what information should be included on the labels to aid identification and retrieval of stored information.

TITLE	REMARKS	EXAMPLE
Campus Box Number	State your campus box number (if applicable)	Box 1 of 50
Campus Name	State your campus name.	University of Alaska Mat Su Campus
Department Name	State your department's name	Student Enrollment Services
Office Name	State your office's name	Admissions Office
Records Series or Title	State the records series title as stated on your records retention schedule.	General Correspondence Files
Records Retention Schedule Title	State the records retention and disposition schedule relating to the records stored or filed.	UA General Administrative Records Retention and Disposition Schedule
Records Retention Schedule Item Number	State the records retention and disposition schedule item number relating to the records stored or filed.	#62
Inclusive dates	State the inclusive dates for all records stored in the box.	2010-2011
Retain Until	State the date when the records will either be destroyed or transferred.	2013
Action	Choose either of these options a) Destroy b) Transfer to MAU ,Campus, Department c) Transfer to a Records Center d) Transfer to University Archives	Transfer to MAU

## Electronic Records

1. Ensure you delete all personal material from all drives.
2. In coordination with your Campus/MAU IT staff, ensure that all electronic files on your servers are transferred to the inheriting Campus's servers and all security is either disabled or relevant staff has been given the relevant information to access those records.
3. If you have confidential records held on your hard drive e.g. personnel files, have your unit's IT staff assist you in ensuring these files are transferred in a secure manner to the appropriate person.
4. Ensure all computer equipment is transferred to MAU IT department for proper procedures related to the disposal of hard drives that includes the secure removal of data, from computers and servers.
5. The same hard drive disposal standards should be applied to multi function devices (MFDs) that contain hard drives (scanners, copiers, fax machines).

## Volume Conversion

It is recommended that records are stored in boxes that are standard 1 cubic foot archive boxes.

If helpful, please use the following table to estimate how many cubic feet of records you may have and as a result, how many boxes you will need to store records.

1 letter size filing cabinet drawer	1.5 cu. Ft.
1 letter size shelf (4 feet)	2.3 cu. Ft.
1 legal size filing cabinet drawer	2.0 cu. Ft.
1 legal size shelf (4 feet)	3.0 cu. Ft.
16mm microfilm, 100 rolls	1.0 cu. Ft.
35mm microfilm, 50 rolls	1.0 cu. Ft.