Organizational Structure for the Management of Records and Information Governance

A. Per Board of Regents’ Policy 05.08.022 and University Regulation 05.08.022, the Chief Records Officer (CRO) is responsible for planning, developing, directing, and maintaining the university’s Records and Information Governance Program. The CRO reports to the Vice President of Finance and Administration. The CRO responsibilities include:

- Creation and/or review and approval of records and information retention and disposition schedules
- Developing University records and information compliance regulations
- Establishing and maintaining records and information governance programs, procedures, and standards for the university system
- Ensure university records remain authoritative through retention of their essential characteristics of authenticity, reliability, usability, and integrity in a secure auditable records management system such as OnBase
- Assisting Internal Audit in the monitoring the compliance to records policy, regulations, programs, procedures, and standards across the university system
- Analyzing office records and information systems then making recommendations on improved systems
- Advise offices about records center operations, micrographics, filing systems, vital records services, and economical utilization of space, equipment and supplies to maintain and store records
- Managing records management activities within UA Statewide
- Provide expertise to university offices on all phases of records management
- Appraise records for historical significance and transfer to University Archives
- Prepare and conduct workshops on records, information, and compliance systems

B. The Chancellors of the Major Administrative Units (MAU) have designated an individual as the MAU Records Liaison Officer (RLO). MAU RLOs will comply with Board of Regents’ Policy and University Records Programs and coordinate their efforts with the Chief Records Officer. The current MAU designated RLOs are:

a. UAA - Sandy Culver, Associate Vice Chancellor Financial Services
b. UAF - Raaj Kurapati, Associate Vice Chancellor Financial Services
c. UAS - Tom Dienst, Director of Administrative Services

MAU RLO responsibilities include but are not limited to the following:

- Monitoring records retention and disposition schedule adherence within their MAU
- Reporting compliance with University records and information governance policy, regulations, programs, and procedures to their Chancellors and the CRO
- Assisting the CRO with the development and delivery of the records and information governance program at their respective MAU
- Reviewing records and information governance procedures within their MAU
C. Departments should designate a Records Coordinator. Records Coordinators responsibilities include but are not limited to the following:

- Monitoring records and information governance adherence within their departments
- Ensuring their departments are following approved records and information retention and disposition schedules
- Reporting compliance with University records policy, regulations, programs, and procedures to the MAU RLO
- Assisting the RLO with the development and delivery of the records governance program within their respective department
- Reviewing records and information governance procedures within their department
- Maintain a departmental records inventory. The inventory identifies the unit’s records, where they are located and in what quantity

D. The Executive Records and Information Management Governance Council will review from time-to-time the Records and Information Management Governance Program to ensure university records remain authoritative through retention of their essential characteristics of authenticity, reliability, usability, and integrity in a secure auditable records management system such as OnBase and propose a strategic plan for Records and Information Management.

The Executive RIM Governance Council shall consist of:

- Finance and Administration, Chair
- General Counsel’s Office
- Statewide Academic Council
- Student Services Council
- Office of Information Technology
- Chief Records Officer

E. The CRO will work with the RLOs, who in consultation with selected individuals from the MAU’s major program and/or functional areas, will implement and support a Records and Information Management Governance Program and the strategic plan of the Executive RIM Governance Council.