



RECORDS MANAGEMENT

Liaison Tool Kit



UNIVERSITY of
DENVER

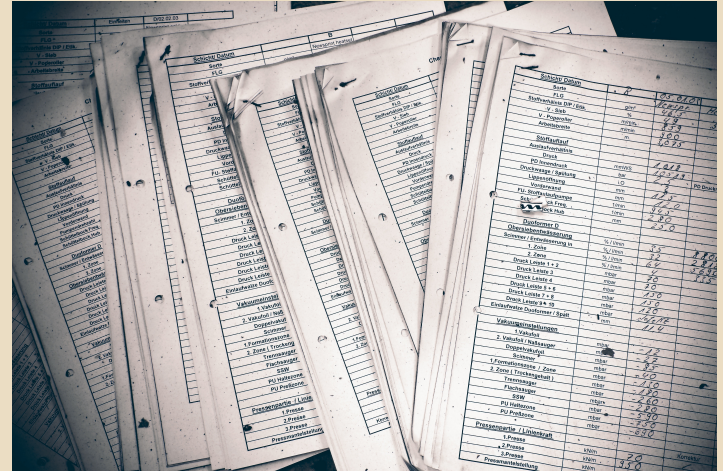
RISK MANAGEMENT

Records Management at DU

- The official **Records Management Policy**:
<https://www.du.edu/bfa/media/documents/policy/records-management.pdf>
- “The purpose of this policy is to assist the University in complying with external record- keeping requirements, managing University risk and preserving the history of the University.” Policy § I.
- In regards to the retention and disposition of records, Policy § II.B.2 provides: “The University Records Retention Schedule will define how long records should be retained, the **Office of Primary Responsibility** (“OPR”) for a record, and the ultimate disposition of the record: destruction or permanent retention in an archival environment. The Office of General Counsel will review schedules for compliance with all applicable statutory and regulatory requirements.”
- The online **Records Retention Schedule** can be accessed at:
<https://recordsmanagement.du.edu/#!/schedule>

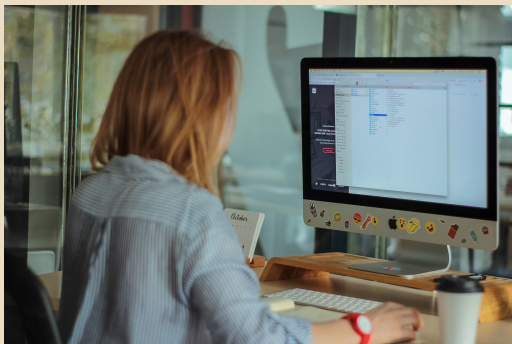
What is a Record?

- Information that provides evidence of business activity and transactions
- Records can be paper or electronic documents
- Any document that was created, received, recorded or legally filed in the course of fulfilling the University's mission



Types of Records

- Policy § II.B.1: “University records may include, but are not limited to, student records, personnel records, financial records, contracts, grant materials, curricula, University publications, committee meeting minutes, memoranda, and correspondence.”
- Record types: fax, email, spreadsheets, photographs, word processing document, receipts, contracts, etc.



Not a Record

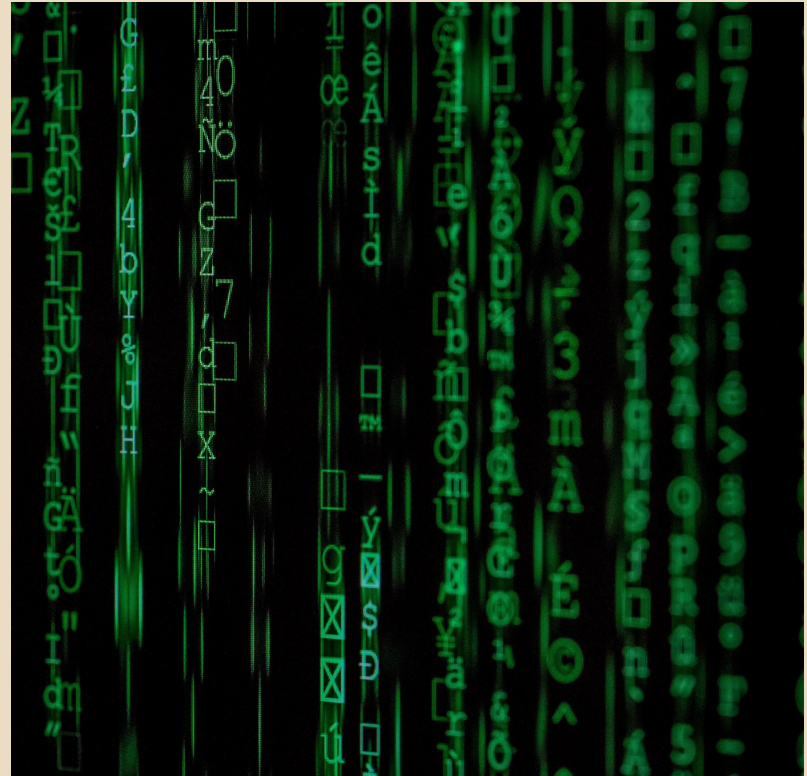
- Policy § II.B.1: “Items that are not considered records include, but are not limited to, personal correspondence, **reference/use copies of University records** and non-University publications (magazines, journals).”
- Drafts of memos and reports
- Routing slips
- Correspondence not related to job function or University business
- For additional details, see [Policy § II.B.1](#)



Electronic Records

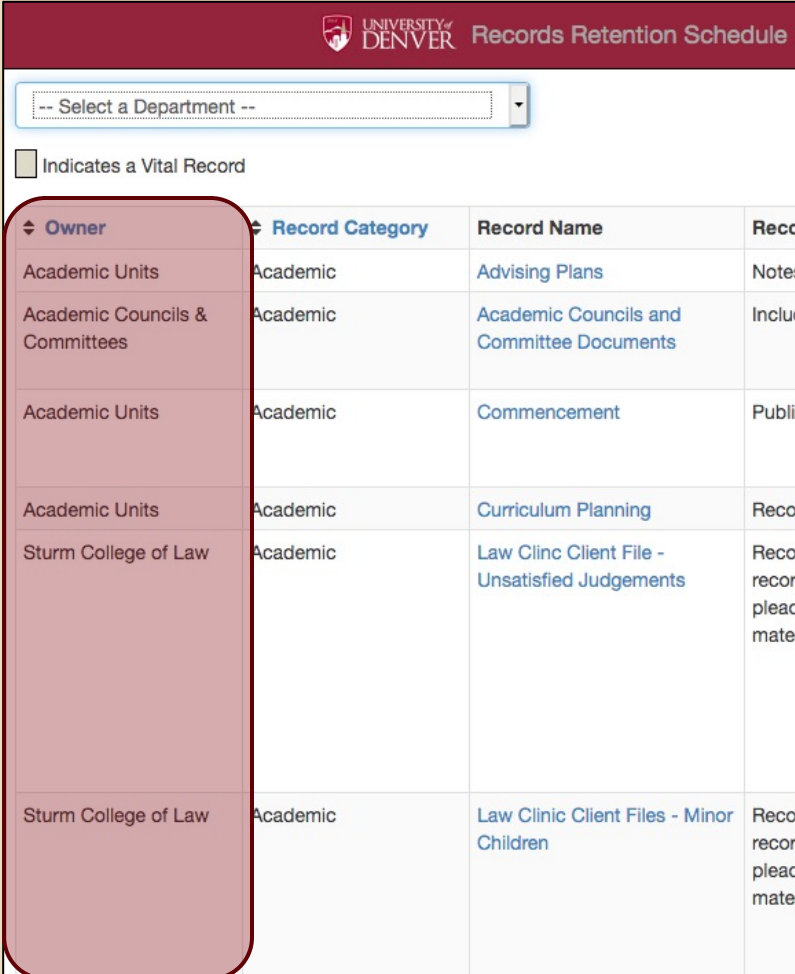
- The University is committed to managing the most authentic, sustainable, complete, and useful version of a University record, regardless of format
- Like paper records, electronic records must also adhere to the University Records Management Policy and the Retention Schedule
- Electronic records storage and maintenance systems must be reliable and secure; see IT's Requirements for Secure Computing Policy:

<https://www.du.edu/it/about/it-policies/secure-computing>



What is an Office of Primary Responsibility (“OPR”)?

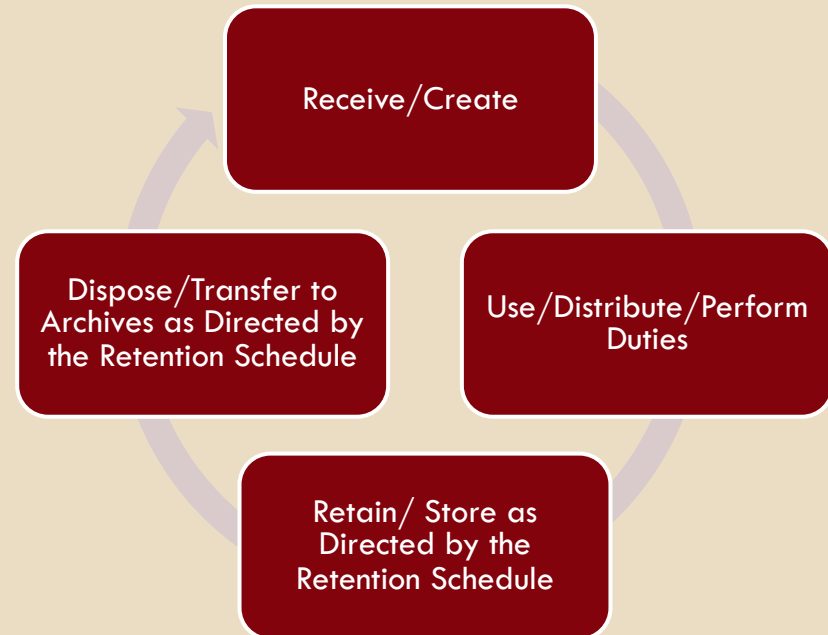
- Policy § III.A: “The OPR is the unit that is accountable for the official/master record. Other units may have access to reference or use copies of these records, or even have created the records, but final responsibility for retention and disposition lies with the OPR.”
- Reference/use copies of records may be kept as long as required to serve business purposes, but no longer than the retention period of the official/master record.
- The Retention Schedule identifies the OPR (“Owner”) for each record type; “All Offices” means every office is primarily accountable for that type of record.
- The drop-down menu in the top left corner filters the Retention Schedule by OPR.



Owner	Record Category	Record Name	Record
Academic Units	Academic	Advising Plans	Notes
Academic Councils & Committees	Academic	Academic Councils and Committee Documents	Includ
Academic Units	Academic	Commencement	Publi
Academic Units	Academic	Curriculum Planning	Recor
Sturm College of Law	Academic	Law Clinic Client File - Unsatisfied Judgements	Recor plead mate
Sturm College of Law	Academic	Law Clinic Client Files - Minor Children	Recor plead mate

Records Management Life Cycle

- Receive/ Create
 - ▣ Generate or receive a new document that contains business or operational information or transactions
- Use/ Distribute/ Perform Duties
 - ▣ The document's required information or actions are fulfilled and executed
- Retain
 - ▣ Use the University's Retention Schedule and store in an appropriate location
- Dispose/ Transfer to Archives
 - ▣ Dispose of records according to the Retention Schedule. Records with personal data must be destroyed securely; see [Policy § III.B](#) for details
 - ▣ Archives: help preserve DU history and legacy



Records Management Liaison Responsibilities

- Become familiar with the Records Management policy
- Create a list of all record types that your unit generates and/or retains
- Train your unit's employees on records management best practices
- Test your unit's controls and processes
- Update practices as needed
- Work with Risk Management Compliance Analyst to address any concerns



Records Contact Information

Emma Snyder Bahner, J.D. | Compliance Analyst

University of Denver | 2601 E. Colorado Ave.

Phone: 303.871.2775 | Email: emma.bahner@du.edu



UNIVERSITY *of*
DENVER

RISK MANAGEMENT