

Records Management Manual of the University of Nevada Las Vegas

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Part 1: Overview of Records Management at the University of Nevada Las Vegas

1.1 PROGRAM RATIONALE, RESPONSIBILITIES AND SCOPE

The administrative head of each campus unit is responsible for the handling of that unit's records. This responsibility remains active until legal custody of particular records is transferred to archival care or terminates in records destruction, as stipulated in an approved retention and disposition schedule.

1.2 PROGRAM GOALS

In general, the goals of the campus records management program are three-fold: (1) to improve administrative efficiency through staff training and application of effective records handling techniques, (2) to ensure the eventual capture for archival preservation of those records deemed of long-term historical or administrative worth, and (3) to make sure that the University complies with provisions of the Nevada Revised Statutes and other applicable policies. These broad mandates subsume various, more specific charges:

- to promote practices ensuring efficiency in the creation and maintenance of campus records,
 - to facilitate the appropriate, cost-effective use of evolving technologies in records creation and preservation,
 - to ensure observance of legal requirements through application of approved records retention and disposition schedules and instruction of staff with responsibilities for records creation, maintenance or description,
 - to promote adoption of uniform standards in records handling,
 - to provide advice on effective methodologies to meet records creation and/or maintenance needs,
 - to preserve the permanently valuable portion of the University's records,
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1.3 PROGRAM MANAGEMENT

There are two primary levels of management in a campus records program. The individual unit is responsible for the care and management of its records until their transfer or other disposition through the application of approved records retention and disposition schedules. While in the custody of the unit the unit's records must be handled and made accessible in accordance with state and/or federal statutes and University policy.

The second level of records program management within the University of Nevada Las Vegas is the University Records Retention Committee. As charged by the President and the Cabinet, the Committee supervises the development of a comprehensive campus-wide program. The Committee reviews program elements to ensure that they facilitate administrative effectiveness and comply with the Nevada Revised Statutes.

1.4 PROGRAM REVISION AND DEVELOPMENT

The University Records Retention Committee reviews the contents of this manual on a periodic basis. Proposed additions and/or revisions originating with the Committee or from a campus unit, are considered by the Committee and by campus administrators as well as by the campus departments directly affected by any suggested changes. The Committee's recommendations on revisions are transmitted to the President's Cabinet for final approval.

The University Records Retention Committee welcomes suggestions for additions and revisions to improve the effectiveness and currency of the manual. Suggestions may be submitted to the Chair, University Records Retention Committee.

Part 2. General Records Management Policies and Procedures

2.1 DEFINITIONS

POLICY STATEMENT:

Certain terms have special meanings in the fields of archival and records management. Understanding these meanings is necessary for proper compliance with the policies set forth in this records management manual. Currently used definitions of the terms are appointed to this policy.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit records officers are responsible for maintaining a current list of definitions as issued by the University Records Retention Committee.

ACADEMIC RECORDS

According to 20 U.S.C. 1232g (Federal Educational Rights and Privacy Act of 1974) "academic records" are those records directly related to a student that are maintained by an educational institution. The term does not include:

1. records of instructional, supervisory, and administrative personnel and educational personnel that are in the sole possession of the maker and are not accessible or revealed to any other individual except a substitute;
2. records of the Office of Public Safety;
3. records relating solely to an employee of the University of Nevada Las Vegas in his or her capacity as an employee that are not available for any other purpose (however, records relating to a UNLV student, who is employed as a result of his/her status as a student, are academic records);
4. student medical records, created, maintained, and used only in connection with provision of medical treatment to the student, that are not disclosed to anyone other than the individuals providing the treatment;
5. records of an educational agency or institution that contain only information relating to a person after that person is no longer a student at the educational agency or institution. An example would be information collected by an educational agency or institution pertaining to the accomplishments of its alumni.

ACCESS

The availability for use or the permission to consult records, archives, or manuscripts. In the case of the University's records, access is determined by federal and/or state statute.

ARCHIVES

1. The noncurrent records of an organization or institution preserved because of their continuing value; also referred to, in this sense, as archival materials or archival holdings.
2. The agency responsible for selecting, preserving, and making available archival materials.

ARCHIVIST

A person responsible for, or engaged in, one or more of the following activities in an archival repository: appraisal and disposition, accessioning, preservation, arrangement, description, reference service, exhibition, and publication.

CONVENIENCE COPY

Copies of records or materials maintained for ease of access and reference. These files are not official records of the University and may be destroyed at any time, but should be destroyed in accordance with the disposition schedule for the original or record copy unless the document has historical value to the institution and/or unit.

COPY

A reproduction in part or whole of the content of an official record, prepared simultaneously or separately.

CUSTODY

The guardianship of records which includes both protective and legal responsibility.

CUSTODIAN OF RECORDS

The person who has custody of the records.

DOCUMENT

1. Recorded information regardless of medium or characteristics. Frequently used interchangeably with "record."
2. A single record. See also OFFICIAL RECORD.

FILES

A collective term usually applied to all records of a unit or office.

LEGAL RECORDS

A legal record may be defined as any file or group of files containing personally identifiable data resulting from formal or informal judicial proceedings or including attorney-client communications. Grievance files, staff/student disciplinary files, records relating to University litigation are examples of legal records.

OFFICIAL RECORD

All recorded information, regardless of media or characteristics, made or received and maintained in pursuance of its legal obligations and held by the applicable custodian of records.

PERSONAL PAPERS

The private documents accumulated by an individual, belonging to him or her and subject to his or her disposition.

PERSONNEL RECORDS

A personnel file consists of any information which relates to the individual's application, selection or non-selection, promotions, demotions, transfers, leave, salary, suspension, tenure, performance evaluation forms, disciplinary actions, and termination of employment wherever located and in whatever form.

PROFESSIONAL RECRUITMENT RECORDS

These records include materials such as position descriptions and advertisements, search plans to meet equal employment guidelines, application materials of prospective employees, search committee records, and affirmative action reports justifying appointments.

PUBLICATION

A multi-page document issued in multiple copies, produced in any media for purposes of public communication. Single-page meeting announcements as well as memoranda and other documents primarily to individuals with administrative or programmatic involvements are not considered publications by this definition, however, they may be records and must be handled accordingly.

RECORD

See Official Record.

RECORDS RETENTION

Both the process of holding and the legal obligation to hold documents for a stated period for further potential use.

RETENTION PERIOD

The period of time during which records must be kept before they may be disposed of; usually stated in terms of years or made contingent upon an event, such as a patient's death or conclusion of an audit, but may be for such an indefinite period as "while administratively useful."

RETENTION AND DISPOSITION SCHEDULE

A document governing, on a continuing basis, the retention and disposition of records.

TRANSFERRING

The transmittal of records to a records center or archives as specified by a records retention and disposition schedule.

2.2 RECORDS MAINTENANCE

For the sake of efficiency as well as appropriate and effective access, units must maintain their records in an orderly, easily accessible manner. For security's sake, they must protect records from unauthorized access. They also must take steps to preserve fragile records and to house environmentally sensitive records properly.

2.3 RECORDS RETENTION**POLICY STATEMENT:**

All official records, regardless of the formats in which they are created, must be retained for designated periods of time and may only be disposed of in accordance with the approved retention and disposition schedule. If a new records series is created, a retention and disposition schedule for that series must be requested.

PROCEDURE:

To request the drafting of records retention and disposition schedules, write the chair of the University Records Retention Committee.

2.4 RECORDS SCHEDULING**POLICY STATEMENT:**

An approved records retention and disposition schedule sets forth the period during which records must be retained under unit control and authorizes the termination of this legal custody requirement. Units may dispose of their records only in accordance with the approved schedule.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designee, is the custodian of the unit's official records.

2.5 HISTORICAL APPRAISAL AND REVIEW**POLICY STATEMENT:**

Through the retention and disposition scheduling process, University Archives staff must appraise the potential value for historical research of all records generated at the University. Records of substantial historical significance must eventually be transferred to the custody of the University Archives for review and final disposition, as directed by the approved records schedule.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The University Archives' staff is responsible for reviewing draft retention schedules to ensure eventual transfer to the University Archives of records potentially of long-term historical value.

PROCEDURES:

Consult the University records retention and disposition schedule to determine which of your records are deemed of at least selective historical value.. Contact the University Archives staff or the chair of the University Records Retention Committee to suggest the inclusion of other documentation in the University Archives,.

2.6 RECORDS STORAGE

POLICY STATEMENT:

From record creation until final disposition, proper records storage practices and a secure environment facilitate ease of location for administrative reference, maintenance of file integrity, and preservation of the record media. Each unit must maintain, to the extent possible, appropriate storage for its own records

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designee, is responsible for ensuring compliance with this policy.

2.7 RECORDS SECURITY

POLICY STATEMENT:

Units must both ensure the content integrity of unit files and prevent unauthorized access to unit records..

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designee, is responsible for ensuring compliance with this policy.

PROCEDURES:

Confidential records must be maintained in locked cabinets or access-code protected electronic files at all times when not under direct surveillance. Copies of confidential records must be maintained in like manner as the original document.

2.8 RECORDS ACCESS

POLICY STATEMENT:

Responsibility to provide access rests with the records custodians regardless of the records storage location. Among records exempt from inspection include academic records, disciplinary files, legal opinion records, medical files, patent records and faculty research data, library user records, and grievance and other personnel files.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designee, is responsible for ensuring unit compliance with this policy.

PROCEDURES:

Each unit or office must provide reasonable access to all non-confidential files covered by applicable federal and/or state laws and regulations.

2.9 RECORDS DISPOSITION**POLICY STATEMENT:**

The disposition of records is controlled by the approved records retention and disposition schedule. This schedule stipulates that records must be maintained for as long as they are administratively and/or historically significant and until statutory, judicial, or other requirements have been met **and** a stated minimum period of time has elapsed. No official record may be destroyed, sold, loaned, or otherwise disposed of in the absence, or in violation, of an approved records retention and disposition schedule.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designee, is responsible for ensuring unit compliance with this policy.

PROCEDURES:

To determine whether or not a record is covered by this policy, first consult the definition of "Official Records" on page 6, then review the existing records retention and disposition schedule. For confidential records, the disposal method must protect the confidentiality of record contents. They may be disposed of only by methods (such as recycling or shredding) that protect their contents from possible, unauthorized access.

2.10 RECORDS TRANSFER**POLICY STATEMENT:**

A unit may transfer files to a temporary on- or off-site storage location, if that site is secure and meets other storage requirements and custody of the files is neither waived nor compromised. Transfers to the University Archives involve a transfer of custody pursuant to paragraph 2.5 above. The transfer must proceed only be in accordance with approved retention and disposition schedules.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designated records custodian, is responsible for ensuring department compliance with this policy.

PROCEDURES:

To transfer records in accordance with an approved records retention and disposition

schedule, consult the University Archives staff for files to be transferred to Archives' care.

2.11 RECORD COPIES

POLICY STATEMENT:

If any unit, in the regular course of business, has created or maintained records and has caused any or all of those records to be recorded, copied, or reproduced in a way that accurately reproduces the original, the record copy may be destroyed, unless preservation is required by law. Such reproduction, when satisfactorily identified, is as admissible in evidence as the original itself.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designated records custodian, is responsible for ensuring unit compliance with this policy.

PROCEDURES:

The production of "record copies," requires conformity to minimum standards of legibility, access, etc. as set forth in federal and/or state statutes covering the legal admissibility of record copies. For clarification of acceptable reformatting or copying processes and procedures that produce record copies, confer with the chair of the University Records Retention Committee or the designated campus records management staff.

2.12 DUPLICATE RECORDS AND/OR CONVENIENCE COPIES

POLICY STATEMENT:

Copies of records or materials maintained for ease of access and reference. These files are not official records of the university and may be destroyed at any time, but should be destroyed in accordance with the disposition schedule for the original or record copy unless the document has historical value to the institution and/or unit.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The creators and/or holders of University records are responsible for implementation of this policy.

PROCEDURES:

Records liaisons should screen office files periodically to remove unneeded duplicate copies from files destined, by approved records schedules, for transfer to archival care.

Such careful weeding of files not only reduces record volume, but also significantly lowers archival records processing time.

Part 3. Supplemental Policies and Procedures for Specific Records Types and Classes

3.1 ELECTRONIC RECORDS

POLICY STATEMENT:

All records in electronic formats concerning, or generated in the course of conducting University business are records as defined by state and federal law, and subject retention/disposition requirements in the same manner as paper records.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designated records custodian, is responsible for ensuring unit compliance with this policy.

3.2 ELECTRONIC MAIL

POLICY STATEMENT:

Electronic mail concerning, or generated in the course of conducting, University business is a "public record" as defined by the State Public Records Act and, so, subject to that act's retention and disposition requirements.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designated records custodian, is responsible for ensuring unit compliance with this policy.

3.3 PUBLISHED RECORDS

POLICY STATEMENT:

Publications (as defined in Section 2.1) issued by University offices are records and are subject to this policy.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designated records custodian, is responsible for ensuring unit compliance with this policy.

3.4 RESEARCH RECORDS

POLICY STATEMENT:

Research Records include all documents related to:

- formal application, acceptance, and accountability for sponsored funding
- data collection and technical reporting
- fiscal management, reporting, and audit
- project-related intellectual property and technology transfer
- ethical compliance approval and reporting, to include:
 - o Conflict of Interest
 - o Research Misconduct
 - o Protection of Human Subjects
 - o Humane Care and Use of Animals
 - o Biohazards and Radiation Safety
 - o Other representations and certifications as required by law

This policy statement applies to both funded and non-funded projects related to research, service, teaching, and other creative activities.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head, or designated records custodian, is responsible for ensuring unit compliance with this policy.

3.5 PERSONNEL RECORDS: Classified Employees

POLICY STATEMENT:

Personnel records for classified employees will be retained or disposed of in accordance with the approved records retention and disposition schedule.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The Director of Human Resources is responsible for maintaining the security of the university's classified employee personnel files.

PROCEDURES:

Retention of official records of personnel files for classified employees is the responsibility of the University's Office of Human Resources. Convenience copies of any classified employee personnel documents are not part of the employee's official personnel records. Any such convenience copies are subject to the same confidentiality requirements as are the official records.

3.6 PERSONNEL RECORDS: Professional Employees

POLICY STATEMENT

Personnel records for professional employees will be retained or disposed of in accordance with the approved records retention and disposition schedule.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The unit head and/or the Director of Human Resources are responsible for maintaining the security of the unit's professional employee personnel files.

3.7 PROFESSIONAL RECRUITMENT SEARCH COMMITTEE RECORDS

POLICY STATEMENT:

Affirmative action records are files relating to implementation of the University's policy on "equality of opportunity in the University." Upon completion of the professional recruitment, the chair of the search committee shall transfer all relevant documents to the Vice President or cabinet officer or his/her designee to which the position is assigned.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The Appropriate Vice President or cabinet level officer is responsible for the implementation of this policy.

3.8 PATIENT RECORDS

POLICY STATEMENT:

University records created as a direct result of the patient-medical provider relationship are considered privileged communications and are considered permanent records. Creators and/or holders of patient-medical records must maintain such files in a manner ensuring file security and the confidentiality of file contents.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The creators and/or holders of patient records are responsible for implementation of this policy.

3.9 STUDENT ACADEMIC RECORDS

POLICY STATEMENT:

The Family Rights and Privacy Act [FERPA] (20 U.S.C. Sec. 1232g) stipulates how student academic records are to be maintained and under what circumstances information in these records may or must be disclosed. It is the policy of the University that its students be accorded the full legal rights provided them under FERPA. Academic files are considered "sensitive and restricted access records" by University policy, and holders as well as users of these files are required to maintain the confidentiality of the information contained in such files.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

Record copies of undergraduate student academic records are maintained by, and are the responsibility of, the University Registrar. Responsibility for record copies of graduate student academic records is shared by the University Registrar, the Dean of the Graduate College, and the registrars of the University's professional schools. All university personnel are responsible for maintaining the security and confidentiality of their files of student grades, etc

PROCEDURES:

Retention and disposition of the records and unit convenience copies are stipulated in approved retention and disposition schedules. University personnel may dispose of their copies of student grades, etc., on any timetable recommended by the University Registrar, so long as such disposition is according to the procedures established for the handling of "sensitive and restricted access" or confidential records.

3.10 FINANCIAL RECORDS

POLICY STATEMENT:

Financial records include routine bills, receipts, purchase orders, budget worksheets, monthly expenditure summaries, and any of the other forms documenting financial transactions. While this documentation may be necessary for audits and short-term budget reconciliations, the majority of financial records do not require long-term retention for either administrative or historical reasons. To document trends in campus and unit development, budget requests, authorizations, and expenditure summaries must be retained as historical records.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The creators and/or holders of financial records are responsible for implementation of this policy.

PROCEDURES:

Financial records should be screened periodically to retain only those items necessary for audits and to document the financial history of the unit. Retention and disposition guidelines are provided in the approved records schedule.

3.11 LEGAL RECORDS

POLICY STATEMENT:

Legal records are considered to include originals and any copies made from the originals that by content are considered "legal records." Legal records, regardless of file location, are considered "sensitive and restricted access" records. Questions concerning the retention and disposition of such records should be directed to the Office of the UCCSN General Counsel.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

All creators and holders of "legal records" are responsible for implementation of this policy.

PROCEDURES:

"Legal records" must be maintained in a secure environment. Retention and disposition of "legal records" is set forth in approved records and retention schedules. For clarification of the definition of what constitutes a "legal record," consult the Office of the UCCSN General Counsel.

3.12 INDIVIDUAL FACULTY PAPERS

POLICY STATEMENT:

With few exceptions (e.g., convenience copies of student grades), papers of individual faculty members are considered the property of the faculty member and not of the University. The University Archives, as a part of its effort to document the history of the University, welcomes the opportunity to screen the files of faculty members who are leaving the University by resignation or retirement.

PERSON(S) OR OFFICE(S) RESPONSIBLE FOR POLICY IMPLEMENTATION:

The individual faculty member is responsible for periodically screening his or her files to segregate "record copies" that may be intermingled with his/her personal and professional records.

PROCEDURES:

Faculty members should consult the records retention schedule for disposition of records and the University Archivist for disposition of personal papers.

UNLV Interim Record Retention Schedule March 7, 2005

Type Record	Proposed UNLV Retention
Accident reports and claims (settled cases)	7 years
Accounts payable ledgers and schedules	7 years
Accounts receivable ledgers and schedules	7 years
Audit reports	Permanent
Bank reconciliation	7 years
Capital stock and bond records; ledgers, transfer registers, stubs showing issues, record of interest coupons, options, etc.	7 years
Chart of Accounts	Permanent
Checks (canceled but see exception below)	7 years
Checks; canceled for important payments, i.e. taxes, purchases of property, special contracts, etc..	Permanent
Contracts and leases (expired)	7 years
Contracts and leases still in effect	7 years past expiration date
Correspondence (general)	3 years
Correspondence (legal and important matters only)	Permanent
Deeds, mortgages, and bills of sale	Permanent
Depreciation schedule	Permanent
Duplicate deposit slips	One Year
Employee personnel records (after termination)	Permanent
Employment applications	3 Years
Expense analyses and expense distribution schedules	7 Years
Financial statements (end of yr. other months optional)	Permanent
General and private ledgers (and end of yr. trial balances)	Permanent
Instructor Grade books and support materials	1 year after end of semester

Type Record	Proposed UNLV Retention
Insurance policies	3 years After Expiration
Insurance records, current accident reports, claims, policies	Permanent
Internal audit reports	3 Years
Inventories of products, materials, and supplies	7 Years
Invoices to customers	7 Years
Invoices from vendors	7 Years
Notes receivable ledgers and schedules	7 Years
Option records (expired)	7 years
Payroll records and summaries, including payments to pensioners	7 years
Patient records	Permanent
Petty cash vouchers	7 years
Physical inventory tags	3 years
Plant cost ledgers	7 years
Official policies	Permanent
Property appraisals by outside appraisers	Permanent
Property records including costs, depreciation reserves, end of year trial balances, depreciation schedules, blueprints and plans	Permanent
Purchase orders (except purchasing dept copy)	2 years
Purchasing orders (purchasing dept copy)	7 years
Receiving sheets	2 years
Requisitions	3 years
Scrap and salvage records (inventories, sales etc)	7 years
Student Records	Permanent
Stock and bond certificates (canceled)	Permanent
Subsidiary ledgers	7 years
Tax returns and worksheets, revenue agents reports and other documents relating to determination of income tax liability	Permanent
Trade mark registrations	Permanent
Voucher register and schedules	7 years

Type Record	Proposed UNLV Retention
Vouchers for payments to vendors, employees, etc. (includes allowances and reimbursement of employees, officers, etc.. for travel and entertainment expenses)	Permanent