

University Records and Information Management Committee

Minutes

3/30/2016

503 Hale, 11:00 a.m.–12:00 p.m.

In Attendance:

| | | | | |
|---------------|---------------|---------------------|--------------|--------------|
| Joel Anderson | James Bach | Lisa Crawford-Craft | Cliff Hight | Lori Goetsch |
| Kathy Kugle | Steve Logback | Monty Nielsen | Loren Wilson | |

I. Welcome and review of committee's charge and structure—Dean Lori Goetsch

- a) Charge: To develop, review, revise, endorse and interpret university records and information management and technology policies and procedures for the university community and ensure that those policies are appropriately disseminated to the campus community. All policies related to records and information management and technology should be approved by this committee. In addition, the committee will:
 - Keep retention policies and schedules updated
 - Provide guidance on matters related to records and information management and information technology
 - Ensure best practices are known and followed
 - Respond to records questions and issues
 - Identify and implement training opportunities
 - Develop implementation and enforcement strategies
 - Address changes in technology and recordkeeping priorities
- b) Committee reports to Dean of Libraries in behalf of Provost and Senior Vice-President, and chair is University Archivist.
- c) Committee includes representatives from Division of Financial Services (Jim Bach), Faculty Senate Committee on Technology (Lisa Crawford-Craft), Freedom of Information Office (Steve Logback), Human Capital Services (Kathy Kugle), Information Security and Compliance (Joe Lear), Information Technology Systems (Loren Wilson), Office of the Registrar (Monty Nielsen), University Archives (Cliff Hight), and Vice-President for Research Office (Joel Anderson); the Office of General Counsel will be legal advisor to the committee and occasional attendee.

II. Overview of work completed by Records Retention Task Force and ground rules for new University Records and Information Management Committee

- a) This committee was proposed by the Records Retention Task Force as a collaborative means for subject matter experts to work together to set the future record management policy and retention practices. Future meetings will be held monthly with an expectation that additional subcommittee meetings may be necessary at times to compile information to present to the full committee.

- b) As the committee prepares for future meetings we will be responsible for bringing to the committee meeting any documentation that has been routed electronically.
- c) Cliff will act as the liaison with the State Archivist to collaborate on opportunities where policies may be cross referenced for simplicity and to ensure that we are cognizant of State records retention policy.

III. Committee Discussion

- a) The work from this committee will be incorporated into the KSU Policy and Procedure Manual (PPM) 3090 and into an official records retention schedule.
- b) The current version of the PPM 3090 was published in 2008. Based upon conversations during the first committee meeting it was determined that initially it would not be the goal of this committee to provide data management guidance. Instead, the committee will attempt to take a comprehensive approach over the next 6 months to create a new records retention policy that addresses records retention practices that have developed since the 2008 version of the PPM.

IV. Review assignments for next time

- a) Cliff will route the State records retention policy and Records Retention Task Force Report to the committee. Cliff will also attempt to obtain records policies from other Universities for comparative purposes

V. Next meeting

- a) Cliff will attempt to schedule 503 Hale for 11:00-12:00pm on April 27th and will confirm the meeting details via email as we get closer to the date.

University Records and Information Management Committee

Minutes

4/27/2016

503 Hale, 11:00 a.m.–12:00 p.m.

In Attendance:

| | | | |
|---------------|---------------------|-----------------|----------------------------|
| Joel Anderson | James Bach | Cliff Hight | Monty Nielsen |
| Loren Wilson | Cindy Hollingsworth | Mark Cole (KHS) | Joanna Hammerschmidt (KHS) |

- I. Welcome and standard business
 - a. Volunteer to take notes for meeting
 - i. Cindy H volunteered.
 - b. Minutes from last meeting
 - i. No questions or corrections.
 - c. Cliff introduced two guests from Kansas Historical Society (Joanna H and Mark C) who were attending to listen to the discussion. Cindy H was in attendance on behalf of Steve Logback.
- II. Report on assignments from previous meeting
 - a. Questions about pilot project or task force reports
 - i. No questions.
 - b. Cliff spoke with the Joanna H between the March and April meetings and summarized their conversation, which centered on these topics:
 - i. K-State's charge to the committee and the committee's approach and current thinking on how to update our records retention policy and schedule.
 - ii. What functions as the State of Kansas records retention policy—mainly statutes and their interpretation, as explained in the "Records Management and the Law" section of the KHS website.
 - iii. One facet of our policy related to retention schedules could include a statement that we follow (in this order) these retention schedules:
 1. State of Kansas general schedules.
 2. Kansas Board of Regents agency schedule.
 3. Kansas State University agency schedule.
 - c. Discussion during the meeting
Additional suggestions from Joanna H:
 - i. Start from scratch rather than from the existing policy because so much of it is outdated.
 - ii. Establish procedures for approval when changes to the schedule are needed.
 - iii. Clarify when revisions and updates require a more involved review (including Faculty Senate) or when they can be handled by the committee, such as housekeeping changes that allow the state board to provide "blanket approval."

- iv. Changes to procedures should be submitted to KHS staff three weeks prior to the state board's quarterly meeting (such as October) so they can be presented for approval.
- v. Decide what the official format of records will be:
 - 1. Electronic or paper, which can be determined by subunits within the organization.
 - 2. Exceptions require an actual business reason.
 - 3. Provide an "effective by" date to allow use of both types and not have to retroactively convert.

III. Discussion of policies and schedules for State of Kansas and other institutions

- a. State of Kansas policies and schedules
 - i. Other sites seem more usable, current KHS site is under revision to improve usefulness.
 - ii. A useful tool will be a FAQ page; soon to be added by state.
- b. Peer institutions' policies and schedules
Comments noted:
 - i. Simplicity is important factor.
 - ii. Policy statements were fairly simple; procedural and implementation aspects are more involved.
 - iii. Need to include review dates for our policy.
 - iv. Many had a statewide schedule that was followed by all universities in that state.
 - v. Communications between university, regents, and state are important for policy updates.
 - vi. Procedural directions should be separate from the policy.
 - vii. Define who is the central authority to review what is destroyed and when and how they will be notified.

IV. Next steps

- a. For May meeting
 - i. Assignment: Members should consider and be ready to discuss the implications of where the records retention policy will connect with other policies in their respective areas.
 - ii. Cliff will begin outlining a revised policy for further expansion during the May meeting. He also will begin working with KHS to identify schedules to update.
 - iii. Joanna H and Matt Veatch (state archivist) will attend the May meeting.
Suggested topics for them to address include:
 - 1. Policy development.
 - 2. Procedures development.
- b. For later than May
 - i. Continue preparing for October state records board meeting.

V. Next meeting

- a. Wednesday, May 25, 11 a.m., 503 Hale

University Records and Information Management Committee

Minutes

5/25/2016

503 Hale, 11:00-12:00 p.m.

In Attendance:

| | | | |
|---------------|-----------------|------------------------|-------------------|
| Joel Anderson | James Bach | Lisa Crawford-Craft | Cliff Hight |
| Kathy Kugle | Joe Lear | Steve Logback | Monty Nielsen |
| Loren Wilson | Mark Cole (KHS) | Ryan Leimkuehler (KHS) | Matt Veatch (KHS) |

- I. Welcome and standard business
 - a. Volunteer to take notes for meeting
 - i. Jim volunteered.
 - b. Minutes from last meeting
 - i. No questions or corrections.
 - c. Cliff introduced three guests from the Kansas Historical Society, who were in attendance to describe the role and responsibility of the state archives and the records scheduling process. Ryan gave a presentation (slides included below) after the report on assignments.

- II. Report on assignments from previous meeting
 - a) Several of the committee members were able to review and find interdependencies between PPM Chapters under their direction and the Records Retention Chapter. In many cases it was determined that policy's content concerning records retention was no longer current. Although the committee will want to compile a list of policies that reference records retention policy, it appears that we should focus on the completion of a new records retention policy prior to attempting to address the phrasing and format of policies that make reference to the Records Retention Policy.

- III. Discussion during the meeting
 - a) State Archivist Matt Veatch encouraged us to strive for a policy that will be relevant over periods of system change, and suggested that an investment must be made in the systems and rationale that support the policy, so that there is room to evolve beyond a simple document retention policy.
 - b) Cliff offered a draft of a new Record Retention Policy Outline that reflected some best practice aspects of other institutional policies. In general, the concept offered was to keep the policy relatively brief and to link to details in other authoritative Federal, State, Regent and University resources. The consensus from the Committee was to ask Cliff to begin a draft of the first few sections of the new Retention policy. Those sections will cover purpose, definitions, authority, etc. Those sections will be reviewed by the Committee at the next meeting. It is anticipated that the Committee will be more able to

assist in developing the content of the Policy once the direction is set in the introductory paragraphs.

IV. Review assignments for next time

- a. Cliff will draft introductory paragraphs for a new Records Retention Policy. The draft will be reviewed by the Committee at the next meeting to ensure that there is agreement concerning the purpose and scope of the Policy.
- b. Steve will draft a paragraph that will address access to records and record management in offices.
- c. Committee members will send Cliff any relevant statutes that should influence and be referenced in the new Records Retention Policy. Members also will attempt to identify records retention references and interdependencies in PPM Chapters under their direction to ensure that changes in a new Records Retention Policy are eventually addressed in all chapters. Committee members should send information to Cliff that notes these records retention references and the context of the policy interdependencies.

V. Next meeting

Will be in 503 Hale for 11:00-12:00pm on June 21st.

University Records and Information Management Committee

Minutes, 6/21/16

503 Hale, 2-3 p.m.

In Attendance:

Joel Anderson

Cliff Hight

Kathy Kugle

Joe Lear

Steve Logback

- I. Welcome and standard business
 - a. Volunteer to take notes
 - i. Steve volunteered
 - b. Minutes from May meeting
 - i. No questions or revisions
- II. Report on assignments from previous meeting
 - a. Cliff asked for committee members to share any additional relevant federal and state statutes with him before the next meeting on July 27.
- III. Review of draft policy
 - a. Cliff shared the initial draft electronically and indicated he would like to convene a subcommittee in the next couple of weeks to work on options for the introductory language, definitions and statutes. Kathy suggested including language for what constitutes an employee personnel record. Cliff highlighted the draft definitions and asked for any other definitions to be sent to him. Steve shared an initial draft of the access to records information with Cliff's suggestion to separate records in offices and records in the archives.
 - b. Joe suggested we need to consider long-term format strategies for archiving of records and discussion included digital preservation options. Joel asked why we're updating the policy now, and Cliff outlined a few reasons including the need to revise outdated information. Discussion also included the need to clarify what is and isn't a record. Regarding objectives, Joel suggested bullet points to clarify (e.g. expanding current hard copy records to digital domains). Cliff shared a listing of related statutes, and Joel suggested we may want to consider topical categories for statutes instead of just an overall listing to simplify. Cliff also reviewed other areas of the draft policy including related K-State policies, related content (links to other pages outside PPM) and who to contact with questions.
 - c. Cliff shared a possible approach to keep procedural guidelines separate from the PPM, and Joel mentioned it might be helpful to have a diagram to determine how and when procedures apply. There was discussion about records retention vs. record management and that there may need to be separate policies. Kathy asked about a record retention schedule in the draft policy, and Cliff indicated he will find a place to include. Cliff also raised the possibility of including language on how University Archives and the state are structured to work together.
- IV. Next steps
 - a. For July meeting, a refined draft of the policy will be ready for review and any other statutes for review should be forwarded to Cliff prior to the meeting.
 - b. September meeting may be moved from Sept. 28 to earlier in the month to prepare for Oct. 20 meeting in Topeka. Discussion on whether we'll need legal review of the policy before the Oct. 20 meeting, and Cliff will check on whether that needs to happen or the state meeting will be more a review of schedules. Next state meeting likely in January 2017 if we don't meet the deadline, but the committee recognized the urgency of moving forward just as quickly as possible.
- V. Next meeting
 - a. Wednesday, July 27 from 11 a.m. to noon in 503 Hale.

Records and Information Management Committee Meeting Minutes – July 27, 2016

In Attendance: Cliff Hight, Lisa Crawford-Craft, Kathy Kugle, Joe Lear, Steve Logback, Jim Bach, Monty Nielson, Joel Anderson, Loren Wilson

- I. Welcome and standard business
 - a. Volunteer to take notes for meeting
 - i. Lisa volunteered
 - b. Minutes from June meeting
 - i. No questions or revisions
- II. Report on assignments from previous meeting
 - a. Cliff asked for committee members to continue share any additional relevant federal and state statues with him
 - b. Cliff did schedule the meetings through the end of the year. The group will discuss 2017 scheduling during the next couple of meetings.
- III. Review of draft policy
 - a. Overall review – A special thank you to Jim and Monty for assisting Cliff with drafting the policy. Cliff discussed the organization of the information and walked the group through the policy.
 - b. Feedback from committee
 - i. It was suggested that when the document specifies department or position it should be linked to contact information for that area, example when the document mentions the Archivist, the text should link to an email or web address.
 - ii. In the Introduction text added to specify current and noncurrent records and what that means. Cliff will tweak lingo to match the rest of the document.
 - iii. In the definitions sections it was suggested to clarify the meaning of current or regularly used records and active or inactive records. Information was also added to the records disposition definition to clarify to utilize the retention schedule to decide where records should be.
 - iv. Long discussion on whether data stewards should be added but decided there were too many.
 - v. General comments: The questions was asked, if applicable could there be some graphical representations of the information? This could be done but would be a link from the

policy to the information as university policies tend to be text only.

IV. Next steps

- a. Social media may be a policy we need to develop at some point.
Example: Presidents Tweets.
- b. State Records Board does not need to approve policies, only the schedules. If there are schedules that need updated, they must be ready by September for the October meeting.

V. Review assignments

- a. Cliff will send updated draft of policy to committee.
- b. Committee members will continue sending applicable federal and state statutes to Cliff.
- c. Committee members needing records schedule updates should begin reviewing entries and working with Cliff to make recommendations for State Records Board.

VI. Next Meeting - 08/24 (Wed), 11am-12pm, 503 Hale

University Records and Information Management Committee

Minutes

8/24/2016

503 Hale, 11:00-12:00 p.m.

In Attendance:

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|---------------|----------------------|------------------------|---------------|---------------|
| Joel Anderson | James Bach | Cliff Hight | Steve Logback | Monty Nielsen |
| Loren Wilson | Megan Rohleder (KHS) | Ryan Leimkuehler (KHS) | | |

- I. Welcome and standard business
 - A. Volunteer to take notes for meeting
 - a. Jim volunteered.
 - B. Minutes from last meeting
 - a. No questions or modifications.
 - C. Cliff introduced the two guests from the Kansas Historical Society, who were in attendance to provide support to the committee on behalf of the State Archivist.

- II. Report on assignments from previous meeting
 - A. All send Cliff relevant statutes that should influence and be referenced in the policy.
 - a. The committee was encouraged to continue to send reference support as appropriate.
 - B. Cliff sent an updated policy draft.
 - a. Feedback is noted under Section IV below.
 - C. Members should submit updates to retention schedules to Cliff to ensure timely submission to the State Records Board.
 - a. The committee is encouraged to discuss retention schedule changes with Cliff prior to the September 8th meeting so that they may be reviewed by the committee by the September 28th meeting, and Cliff can forward modifications on to the State Records Board for their October 20th meeting.

- III. Updates to the Kansas Open Records Act
 - A. The Office of General Counsel notified the Deans' Council that changes have occurred in the Kansas Open Records Act to include electronic information, which is communicated on personal devices and accounts, as information potentially accessible under the Open Records Act. Although any business communication on a personal device may be considered under Open Records, it must generally be considered to be more than routine correspondence. Official Twitter accounts could certainly fall under the umbrella of the Open Records Act. The Office of General Counsel recommends that when business is conducted that it be done so on a business device or at least copied to an account that is primarily used for business purposes.
 - B. At this time, it is not anticipated that this clarification will result in changes to the KSU Policies 3060 (Open Records Act) or 3090 (Records Management).

- C. Open records requests are facilitated through the Freedom of Information Officer in the Office of Communications and Marketing.
- IV. Review of draft policy
- A. Cliff reviewed the draft policy, regulatory references, and committee feedback provided to date. The committee agreed that the draft language through section .070 represented their feedback. The committee also agreed that the language through section .070 represented the policy aspect of the Chapter, and that it could be submitted for discussion with the Office of General Counsel and with Lisa Crawford-Craft (FSCOT representative on this committee) for consideration and potential review by Faculty Senate. Cliff will attempt to gain their feedback prior to our September 8th meeting.
 - B. The committee also continued the discussion of including a records lifecycle image in the information provided as guidance to the campus. It was noted that of the two examples offered by Cliff that the “workflow diagram” used by Ohio State seemed to be a little more helpful. Discussion followed about customizing that diagram for our circumstances and potentially providing a link to the image from an FAQ page (rather than a link from the policy itself).
- V. Next steps
- A. The committee should be prepared to share their final recommendations concerning sections .080 through the end of the policy at the September 8th meeting.
 - B. Cliff will visit with the Office of General Counsel and with Lisa Crawford-Craft to obtain their final recommendations concerning updating the PPM and submitting the policy to the Faculty Senate for review.
 - C. The committee will anticipate reviewing any proposals forwarded for records retention schedule modifications by the September 28th meeting. Requests are anticipated from HCS, Registrars, and Financial Services Offices.
- VI. Next Meeting
- A. Thursday, September 8, 3-4pm, 503 Hale
 - B. It is anticipated that monthly meetings will be added to our calendars in 2017 with the expectation that meetings may be cancelled as the agenda dictates.

University Records and Information Management Committee

Minutes

9/08/2016

503 Hale, 3:00-4:00 p.m.

In Attendance:

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|---------------|---------------|--------------|------------------------|
| Joel Anderson | James Bach | Cliff Hight | Ryan Leimkuehler (KHS) |
| Kathy Kugle | Monty Nielsen | Loren Wilson | Megan Rohleder (KHS) |

- I. Welcome and standard business
 - A. Volunteer to take notes for meeting
 - a. Jim volunteered.
 - B. Minutes from last meeting
 - a. No questions or modifications.
 - C. Cliff introduced the two guests from the Kansas Historical Society, who were in attendance to provide support to the committee on behalf of the State Archivist.
- II. Report on assignments from previous meeting
 - A. All send Cliff relevant statutes that should influence and be referenced in the policy.
 - a. The committee members in attendance indicated that all supporting policy references under their review have been submitted to Cliff.
 - B. Retention schedule updates intended for October State Records Board review in Topeka should be complete and available for committee review by our September 28 meeting.
 - a. Financial Services and Human Capital Services may have updates ready for the October State Records Board meeting. Registrar's Office may attempt to present updates for the January State Records Board meeting. Committee members are encouraged to continue to work with Cliff directly to ensure that their proposed retention schedule updates are included on the agenda for review as appropriate.
 - C. Cliff will contact Lisa Crawford-Craft to obtain feedback concerning the policy and indicate our intention to present the policy to Faculty Senate.
 - a. Cliff will present our policy at the October 4 FSCOT meeting. If all goes as planned FSCOT will present the new policy to Faculty Senate. Cliff will represent our committee at these meetings.
 - D. Cliff will contact the Office of General Counsel to offer an opportunity to provide feedback concerning the policy prior to submission to Faculty Senate.
 - a. Cliff has reached out to the Office of General Counsel and will attempt to incorporate any feedback provided into the policy prior to the October 4 FSCOT meeting.
- III. Review of draft policy from .080 to end
 - A. Committee members expressed an interest in reviewing the references listed as supporting materials in Section .100. There was an observation that although some of the material listed in

that section was valuable to the relevant office of record that it might lead to some misinterpretation by the public. Additional conversation may occur that will result in the removal of some of the supporting references.

- B. Cliff offered an update that the Ohio State University agreed to our use of records life cycle images presented on OSU's website. There was also discussion concerning the eventual renaming of K-State's record policy to indicate its purpose to encompass a broader scope of information management. It was determined that at this time we will continue to focus on the submission of the records policy to the Faculty Senate as it is but will revisit this discussion at a later time.

IV. Next Steps

- A. Cliff noted that as we proceed toward presentation of the policy to Faculty Senate that we recognize that some additional forms and user friendly tools will need to be developed and included in later versions of the procedural component of the Chapter. For the sake of policy flexibility, the committee will attempt to keep the definition and scope of records management broad enough to include records maintained in electronic format. Interest was also expressed by the committee to have a discussion about providing guidance to the campus concerning records disposal and how the responsibility for that action should be designated.
- B. Cliff will continue discussions with the Office of General Counsel and the State Archivist concerning the policy and retention schedule updates to ensure that we are prepared to present the policy update to Faculty Senate and the State Records Board. Committee members who would like revisions submitted to the State Records Board in October should continue to work with Cliff to ensure that deadlines can be met.

V. Next Meeting

- A. Wednesday, September 28, 11am-12pm, 503 Hale
- B. It is anticipated that monthly meetings will be added to our calendars in 2017 with the expectation that meetings may be cancelled as the agenda dictates.

University Records and Information Management Committee

Minutes

9/28/2016

503 Hale, 11:00 a.m.-12:00 p.m.

In Attendance:

Joel Anderson Jim Bach Lisa Crawford-Craft Cliff Hight Kathy Kugle
Joe Lear Steve Logback Loren Wilson
Robert Large (Office of General Counsel) Ryan Leimkuehler and Megan Rohleder (KS Hist. Soc.)

- I. Welcome and standard business
 - A. Volunteer to take notes for meeting
 - a. Lisa volunteered.
 - B. Minutes from last meeting
 - a. No questions or modifications.

- II. Report on assignments from previous meeting
 - A. All Meetings for 2017 are set.
 - B. The first round of Financial Services and Human Capital Services retention schedule revisions were ready and reviewed at this meeting.
 - C. The retention schedule revisions from the Office of the Registrar will occur later this year to prepare for the January State Records Board meeting.
 - D. The final touches on the PPM 3090 draft were made and sent to General Council for review. The draft will next go to FSCOT (10/4), the Faculty Senate Executive Committee (10/25), and the general Faculty Senate meeting in November (11/8).

- III. Review of PPM 3090 proposal
 - A. The committee discussed the comments from General Counsel with their representative that attended the meeting
 - a. Discussed the difference between current and non-current vs active and non-active, want to make sure it is clear. Possibly current and regularly used, or active, current and occasionally referenced.
 - b. Decided that retention schedule does not need to be in the policy as it is in the schedules. Retention schedule informs about any caveats.

- IV. Review of proposed revisions to retention schedule
 - A. Committee walked through many schedules with Cliff from Financial Services and Human Capital Services and made small changes if necessary. Committee approved by consensus all schedule entries reviewed except Employee Personnel Files. This entry will require further investigation and discussion with applicable record keeping units. Approved schedule entries will be presented to the State Records Board at their quarterly meeting on 10/20.

V. Next Steps

- A. For Policy – review by FSCOT and Exec Committee in October, and general Faculty Senate meeting in November.
- B. Further retention schedule updates will occur with Human Capital Services and Office of the Registrar.

VI. Review assignments for next time

- A. General Counsel will check for any Kansas Open Meetings Act requirements for our committee.
- B. Kathy and Cliff will work with the appropriate parties to finish recommendations for Employee Personnel Files retention schedule.
- C. Jim and Cliff will complete schedule entries for Financial Services records to be reviewed by the State Records Board quarterly meeting in October.
- D. Cliff will update draft retention policy and send to Lisa in preparation for the FSCOT meeting.
- E. Cliff will send retention schedule recommendations to the state historical society in preparation for the State Records Board meeting in October.

VII. Adjourned – Next meeting is October 27th, 1:30 to 2:30 p.m., 503 Hale

University Records and Information Management Committee

Minutes

10/27/2016

503 Hale, 1:30–2:30 p.m.

In Attendance:

| | | |
|-------------|---------------|--------------|
| James Bach | Cliff Hight | |
| Kathy Kugle | Monty Nielsen | Loren Wilson |

- I. Welcome and standard business
 - A. Volunteer to take notes for meeting
 - a. Jim volunteered.
 - B. Minutes from last meeting
 - a. No questions or modifications.

- II. Report on assignments from previous meeting
 - A. Cliff reported on his discussions with Robert Large, Office of General Counsel concerning the Kansas Open Meeting Act (KOMA). The results of those conversations are indicating that because the Records and Information Management Committee is a policy-setting committee, the committee meeting results may be subject to KOMA.
 - a. Cliff will work with Steve to determine how the committee can best communicate the committee meeting dates/times and minutes.
 - b. Cliff will draft a short charter that will define the committee's voting policy. We are anticipating that the committee will be able to approve policy decisions by consensus of members in attendance.
 - B. Retention schedule updates
 - a. Eighteen retention schedules were submitted to the State Records Board (SRB) for review during the October SRB Meeting. These updates included additions, consolidations, and removal of duplicative schedules. The RIMC uses the State's general retention schedules when applicable and then uses the agency retention schedule beyond that.
 - b. The Registrar's Office will work with Cliff during November with the intention of submitting some relevant retention schedules to the SRB for review in January.
 - C. FSCOT and Faculty Senate Executive Committee review of RIMC records policy updates.
 - a. Cliff presented the new records policy at the October 4 FSCOT meeting and the October 25 Faculty Senate Executive Committee meeting. Each body asked a couple of questions and supported moving forward the proposed policy to Faculty Senate.
 - b. The new records policy will be submitted to Faculty Senate at their November 8th meeting for review. If that review is successful, then it is anticipated that the policy will be submitted for approval by Faculty Senate at their December meeting.

- c. If Faculty Senate approves the new records policy, then it is anticipated that Dean Goetsch and Cliff will submit the new policy to Provost Mason for approval.

III. Next Steps

- A. Cliff will meet with Lynn Carlin and Alma Deutsch to review the scope of central personnel files. In the current environment there are documents related to faculty evaluations that are maintained in campus departments, but not part of the faculty member's central personnel file.
- B. In November, Cliff will meet with Loren Wilson to draft an Electronic Recordkeeping Plan (ERP) for ImageNow software for the State Electronic Recordkeeping Committee to review and approve at their December meeting. This approval allows the RIMC to recommend certain retention schedules with electronic recordkeeping requirements to the SRB.
- C. Kathy will continue to work with Cliff to review and update the retention schedule for central personnel files for potential submission to the SRB in January.
- D. Steve and Cliff will discuss how best to present the RIMC meeting information to the campus in order to comply with KOMA.
- E. Monty and Cliff will work together to prepare student record retention schedules for review at the SRB meeting in January.
- F. Cliff will attend the November Faculty Senate meeting to present the revised records retention policy and to answer questions.
- G. Cliff will draft a short charter that will include protocols for the committee's voting policy.

IV. Next Meeting

- A. Thursday, December 1, 1:30pm-2:30pm, 503 Hale
- B. It is anticipated that monthly meetings will be added to our calendars in 2017 with the expectation that meetings may be cancelled as the agenda dictates.

University Records and Information Management Committee

Minutes

12/01/2016

503 Hale, 1:30–2:30 p.m.

In Attendance:

Joel Anderson

James Bach

Cliff Hight

Kathy Kugle

Joe Lear

Steve Logback

Monty Nielsen

Loren Wilson

Ryan Leimkuehler and Megan Rohleder (Kansas Historical Society)

- I. Welcome and standard business
 - A. Volunteer to take notes for meeting
 - a. Jim volunteered.
 - B. Minutes from last meeting
 - a. No questions or modifications.
- II. Report on assignments from previous meeting
 - A. Cliff and Loren drafted an electronic recordkeeping plan (ERP) for ImageNow to be reviewed by the State Electronic Recordkeeping Committee. Megan has reviewed the draft and has provided feedback to be considered prior to submission to the Committee. There was consensus among the committee members that the draft was satisfactory, and that Cliff and Loren could continue their progress toward submission of that plan (with Megan's assistance as appropriate) to the State Electronic Recordkeeping Committee.
 - B. Retention schedule updates
 - a. Cliff and Monty met to draft student record retention schedules. Ryan has provided feedback that will be considered prior to the final submission to the State Records Committee.
 - b. Kathy and Cliff will meet in the future to discuss additional HCS retention schedule revisions, but they are not anticipating submitting additional revisions for review by the State Committee for the January 2017 meeting.
 - C. Faculty Senate review of draft retention policy.
 - a. Cliff noted that the draft retention policy was submitted for Faculty Senate review and that the policy update was approved by that body for submission through Dean Goetsch to the Provost for approval.
 - D. KOMA Compliance
 - a. Cliff and Steve met to discuss a proposal to facilitate the announcement of RIMC meetings and minutes. Cliff will work with the Library communication staff to identify or create a space on the Library website to recognize the RIMC. Meeting announcements may also be shared through the OneDrive/Office 365.
 - E. Committee Charter and voting protocols

- a. Cliff drafted a charter for the Committee to review. Through that discussion it was initially decided that when a vote is required in matter of policy it is anticipated that an emailed announcement will be sent concerning the vote in advance of the relevant meeting, and that the vote will be determined by a majority of the committee members present. There was also discussion concerning an alternative practice of voting via email to ensure the maximum number of committee members were able to take part in a vote.
- b. It is anticipated that Cliff will set at least four committee meetings in 2017.

III. Next Steps

- A. Cliff will meet with Lynn Carlin and Alma Deutsch to review the scope of central personnel files. In the current environment there are documents related to faculty evaluations that are maintained in campus departments, but not part of the faculty member's central personnel file.
- B. Cliff and Loren will continue their work to prepare an Electronic Recordkeeping Plan (ERP) for ImageNow for the State Electronic Recordkeeping Committee to review and approve at their December meeting. This approval allows the RIMC to recommend certain retention schedules with electronic recordkeeping requirements to the SRB.
- C. Kathy will continue to work with Cliff to review and update the retention schedule for central personnel files for potential submission to the SRB in 2017.
- D. Cliff will continue to work with the Library communication staff to announce RIMC meetings and minutes.
- E. Monty and Cliff will continue to prepare student record retention schedules for review at the SRB meeting in January.
- F. Cliff will prepare a recommendation for a records policy update to be presented to Dean Goetsch for her submission to Provost Mason for approval.
- G. Cliff will finalize a RIMC Charter that will include protocols for the committee's voting policy.

IV. Next Meeting

- A. Wednesday, January 25, 11:00am-12:00pm, 503 Hale
- B. It is anticipated that monthly meetings will be added to our calendars in 2017 with the expectation that meetings may be cancelled as the agenda dictates.