University Data Storage Guidelines

General Records Management Statement:

Kansas State University, as an agency of the State of Kansas, is governed by state statutes defining records retention requirements. State law provides that all government records are public property and shall not be destroyed or otherwise disposed of except as authorized by law or applicable retention and disposition schedules (see Kansas Statutes Annotated (K.S.A.) 45-403). The University Archives is designated as the official repository for the preservation of all Kansas State University non-current government records with enduring value. The University Archives also has responsibility for advising on the management of current records, primarily through the efforts of the University Records Manager. The University Records Manager serves as the liaison between the University Archives and Kansas State University offices to develop and maintain records retention and disposition schedules. The University Records Manager also provides training on records management topics and acts as an advisor on policies.

Retention of Records Policy: PPM 3090

Key Concepts to Keep in Mind:

Office 365 tools are acceptable repositories for retaining university records if they are deployed properly and actively managed, taking into consideration the following points:

- University records and information must be managed no matter where they are kept. Do not allow any system or repository to become a dumping ground for files.
- The University's records retention schedules must be applied to all university records regardless of where they are maintained no matter the format. Premature or otherwise inappropriate destruction of university records is unacceptable and violates State statute.
- When using Office 365 tools, access must be actively managed and reviewed on an ongoing basis. Updating access when changes to unit staffing occur is critical.
- DO NOT USE: Dropbox, Google Drive, etc. is not a University maintained space for storage and does open up personal accounts to review to determine whether those accounts contain documents subject to the Kansas Open Records Act.

Office 365 and University Data Storage Guidelines:

Chat/Instant Messaging: A private, synchronous exchange of messages between parties over a computer network. All messages should be short-term conversational communication. All policy or business function communication should be conducted through a more permanent medium such as email. (link to routine and policy correspondence) See also Data Classification and Security Policy 3433

Managed Network Drive Formerly Catfiles/W:Drive: This drive is for information that needs to be shared across the unit/organization.

- Depending on your unit or department this space may be limited or unavailable. Check with your IT administrator for specific guidance.

Y: Drive: These are created for each user and accessible only to the user. Types of files that could exist in this environment would be working documents/drafts, meeting notes, personnel records, etc.

- Depending on your unit or department this space may be limited or unavailable. Check with your IT administrator for specific guidance.

Microsoft Teams: Teams are cloud-based virtual workspaces that can be created by faculty and staff to facilitate collaborative work. Team sites can be made using a variety of Office 365 applications including Outlook, Teams, Yammer, and Planner. Team sites are intended to be accessed by a group of people who are working on a common project or task where rapid, remote, or simultaneous access is anticipated or desired.

When the project or task has been completed, the team site owners should determine which files, if any, are to be retained and transferred to longer term record storage or the University Archives. Once the files have been transferred, the owner should delete them from the Team site to prevent duplication and potential over-retention. ITS will keep a Team one year past the date it becomes dormant/inactive. Before a Team is deleted permanently, all archival/permanent/long term records will be migrated out of the Team structure to longer term storage or transfer to archives. [See KSU retention schedule website for guidance]

OneDrive: OneDrive is a cloud-based storage provided to individual faculty, staff, or departments/units to store university information and materials related to your work at Kansas State University. This space is not intended for personal, non-university-related files. If OneDrive is utilized users should implement a file and folder structure to ensure public records important to the University are stored in a way that makes it easy for long-term storage and retrieval, transfer to University archives, or permanent storage by the department or unit. ***Note*** OneDrive is a secure environment for storage of University records.

SharePoint Online Communication Sites: Communication sites when deployed and properly configured, are cloud-based repositories intended for storage and sharing of university records and information. Communication sites are intended to be accessed by a group of people who need the unit's documents and where rapid, remote, or simultaneous access is beneficial. Communication sites can act as a unit's long-term records repository for digital files because they are not subject to the same expiration rules as Team sites or OneDrive for Business document libraries, and they avoid creating silos of university information and records. Note that the university records with a final deposition of Archives need to be transferred to the Kansas State University Archives once their period of retention has been met; it is not appropriate to retain these files in your unit's records repository indefinitely.

Department Intranets: A computer network that is restricted to users within a specific organization, especially network services intended for disseminating information within the organization through the use of web technology. An intranet is distinguished from the internet, in that it is not generally accessible to the public. These areas can be used to store longer term records as they are more secure, but it should be noted this is not a preservation environment. Permanent or Archival records should be managed in a system that will check the authenticity, integrity, and accessibility of the record over time.

Department-Specific Record Systems: This could apply to a variety of vendor or homegrown systems used at the university. These record systems may be designed specifically for certain types of records such as financial, flight data, or research data. Plans should be in place to monitor and manage records in these environments and that the records are destroyed or transferred as appropriate for the system. Note that some systems create additional records that you may want to track and manage such as critical metadata associated with records in the system.

Email: **Email is a record**. Whenever an email message is sent in the course of University business that email becomes an official record of the University. Such records can be subject to disclosure in response to an open records request or subject to subpoena by courts. So it is important that you take care when sending emails for a business. [See Also PPM 3455]

In today's world, we all have multiple email accounts. Some are personal (such as Gmail, etc.), and some will be institutional (such as your KSU employee account). Always use your KSU employee email account for University business. Also, try to avoid using your KSU employee email account for personal communication; that is best for personal accounts.

If you use a non-KSU employee account to create, respond to, or store work-related information you are increasing the risk of causing an inadvertent privacy breach by using a non-authorized service provider. In addition, those emails are still subject to open records requests and subpoena so you run the risk that your own personal emails will be drawn into an open records request. For these reasons, it is important that you keep your personal and work-related correspondence separate.

Be sure to keep and file email records appropriately. Retain messages that are sent and received only if they relate to University business; all other messages can be treated as transitory and deleted. (See also Email Records Management FAQ)

- When retaining a series of replies or forwards, keep only the last message as long as the thread is complete and has not been changed in the course of the exchange.
- Make sure to retain information in the header regarding the sender, recipients, date and time; this helps preserve the context of the message.
- *Note* The email system is not a recordkeeping system. A recordkeeping system organizes records according to a file plan, provides shared access to those who need it, and applies retention and disposition rules. So, it is best practice to implement a file/folder structure for your email account.

Use of Personal Devices and Accounts Policy: [see attached document]

Glossary of Terms:

Long term: the length of time needed to retain a record to satisfy the minimum retention period of a record. Retention periods can range from one year to several decades.

Record:

> 1. A written or printed work of a legal or official nature that may be used as evidence or proof; a document.

> 2. Data or information that has been fixed on some medium; that has content, context, and structure; and that is used as an extension of human memory or to demonstrate accountability.

> 3. Data or information in a fixed form that is created or received in the course of individual or institutional activity and set aside (preserved) as evidence of that activity for future reference.

4. An instrument filed for public notice (constructive notice); see recordation.

5. Audiovisual Records: A phonograph record.

6. Computing: A collection of related data elements treated as a unit, such as the fields in a row in a database table.

7. Description: An entry describing a work in a catalog; a catalog record.

Retention schedule: A document that identifies and describes an organization's records, usually at the series level, and provides instructions for the disposition of records throughout their life cycle.

Short term: the length of time needed to retain a record to complete a task or project. Lasting from days to years.

Transitory record: a record that has little to no documentary or evidential value and that need not be set aside for future use. Examples of transitory records include correspondence that requires no administrative action, policy decision, or special handling; and non-record copies of quasi-official notices, such as memoranda, that are not used as the basis of an administrative or program action or decision.