

## University Records and Information Management Committee meeting

Agenda, 02/13/2024, 9:00 a.m.–10:00 a.m.

Attendees: Danielle Hall, Ryan Leimkuehler, Hanna Manning, Chris Buchanan, Abby Lear, Megan Burton, Jessie, Carolyn Jackson, Jeff Hauser, Shannon Leftwich, Cliff Hight, Aaron, Xiang Chen, Mary-Beth Rhoads, Elliot Young,

Zoom, <https://ksu.zoom.us/j/94301190332?pwd=TDUvUmE3djUrenhDc2ZteWhrakQ2QT09>  
or Hale Library 508g

- I. Welcome and standard business (<5 mins)
  - a. Introductions (if needed)
    - i. Everyone welcome Mike Corwin who is taking over as one of the voting HR representatives.
  - b. Committee Chair update
    - i. Ryan announced that as of today's meeting, Danielle will be taking over as Chair.
- II. November Minutes: [RIMC\\_Minutes2023-11-14.pdf](#)
  - a. Abby moves, Hanna second
- III. Report on assignments from previous meeting (<5 mins)
  - a. Snowflake ERP update
    - i. Passed through ERC and SRB – officially approved
- IV. New Business: (30-35 min)
  - a. W: Drive Migration
    - i. Cybersecurity impact
    - ii. Next Steps
  - b. **Generative AI Policy for Employees draft (first read)**
    - i. This first draft is also being reviewed by Data Governance, FSCOT, Office of DAIR (Data, Assessment and Institutional Research), and others.
  - c. Monthly Meeting Time
    - i. <https://www.surveymonkey.com/r/TRSRMDZ>
- V. This would start next month (March) Old Business: (5 mins)
- VI. Announcements: (5-10 mins)
- VII. Upcoming:
  - a. Retention Schedules
    - i. Reviewing existing retention schedules (3-5 years)
  - b. ERPs
    - i. Maxient
    - ii. Alma Update
    - iii. BRI Systems
  - c. Records Management Month (April)
    - i. Shred Day coming at the end of the month
    - ii. Events and articles throughout the month
  - d. Committee Member announcements/discussion

VIII. Adjourn

- a. Meeting adjournment at 9:46 am

<u>FUTURE MEETINGS:</u>	<u>UPCOMING STATE BOARD MEETINGS:</u>
RIMC - TBD	SRB – April 18, 2024 SRB – July 18, 2024 SRB – October 17, 2024

## University Records and Information Management Committee meeting

Minutes, 03/12/2024, 9:00 a.m.–10:00 a.m.

Attendees: Carolyn Jackson, Chris Buchanan, Jessie Blom (KSHS), Jeff Hauser, Hanna Manning, Ryan Leimkuehler, Cliff Hight, Mary Beth Rhodes, Michael Corwin (HR), Kelley Brundage, Xiang Chen

Zoom, <https://ksu.zoom.us/j/94301190332?pwd=TDUvUmE3djUrenhDc2ZteWhrakQ2QT09> or Hale Library 508g

- I. Welcome and standard business (<5 mins)
  - a. Introductions (if needed)
- II. February Minutes: Minutes\_RIMC2024-02-13.pdf
  - a. Carolyn moves, Kelley seconds, unanimous
- III. Report on assignments from previous meeting (<5 mins)
- IV. New Business: (30-35 min)
  - a. Retention\_Schedule\_Interlibrary\_Loan\_SHARED.pdf
    - i. Danielle gave overview of records in series
    - ii. PII and Library Patron Data restrictions
    - iii. May need to clarify the “correspondence” piece
    - iv. Archives may do a one-time review and then take the 005 fiscal years
    - v. Title change to K-State Interlibrary Loan Records
    - vi. Ryan motions and Kelley seconds – unanimous
  - b. Retention\_Schedule\_TRIO\_ESS\_SHARED.pdf
    - i. Danielle gave overview of records in series
    - ii. Two retention schedules for students and one for the financial records
    - iii. Title – student records and programmatic records
    - iv. Accessibility of grant records at the federal level or should we keep local copies
    - v. Clarify if the 6 year item can ever exceed 10 years in holds or audits
    - vi. Table and make two retention schedules
  - c. Generative\_AI\_Policy\_Draft\_shared.docx **draft**, second look
    - i. Gave overview of the document and the various groups that are reviewing the policy document
    - ii. Share out procedure document with committee
    - iii. Get in front of general counsel for initial focus or non-focus areas of the policy
    - iv. Collecting information, drafting, procedure updates
  - d. Records Management Month
    - i. SHRED Day
    - ii. Trainings:
      1. RM101 April 5: 10-11:30 a.m. (Hale Library 181 and Zoom)
      2. Records Management and Data Governance Q&A April 9: 10:30 - 11:30 p.m. (Zoom)
      3. RM101 April 19: 2-3:30 p.m. (Zoom)
      4. RM101 April 23: 11:30-1 p.m. (Hale Library 581 and Zoom)

5. *Shared Drive Clean-Up Training*: upon request
- V. Old Business: (5 mins)
  - VI. Announcements: (5-10 mins)
  - VII. Upcoming:
    - a. Retention Schedules
      - i. Revisiting older ones
    - b. ERPs
      - i. Maxient
      - ii. Alma Update
    - c. BRI Systems
    - d. Committee Member announcements/discussion
  - VIII. Adjourn
    - a. Meeting adjournment at Adjourned in 9:56am

<u>FUTURE MEETINGS:</u>	<u>UPCOMING STATE BOARD MEETINGS:</u>
RIMC – April 9, 2024	SRB – April 18, 2024
RIMC - May 14, 2024	SRB – July 18, 2024
RIMC – June 11, 2024	SRB – October 17, 2024

## **University Records and Information Management Committee meeting**

Minutes, 04/09/2024, 9:00 a.m.–10:00 a.m.

Attendees: Ryan Leimkuehler, Hannah Manning, Danielle Hall, Michelle Turvey-Welch (Guest), Xiang Chen, Carolyn Jackson, Shannon, Abby Lear, Chris Buchanan, Susan Cooper, Memory Buffington, Jessie Blom (KSHS), Aaron Good, Mary-Beth Rhoads, Cliff Hight,

Zoom,

<https://ksu.zoom.us/j/96431144119?pwd=NDFrZzFRWkxWUmYwUmNWeUhtWDBKZz09>

or Hale Library 508g

- I. Welcome and standard business (<5 mins)
  - a. Introductions (if needed)
- II. March Minutes: Minutes\_RIMC2024-03-12.pdf
  - a. Carolyn moves, Hannah seconds,
  - b. Motion passes unanimously
- III. Report on assignments from previous meeting (<5 mins)
- IV. New Business: (30-35 min)
  - a. Retention Schedules
    - i. TRIO Office:
      1. SHARED\_Retention\_Schedule\_TRIO\_Program\_Records.pdf
        - a. Danielle gave overview and review of what was updated from last meeting.
        - b. Carolyn moves, Hannah seconds
        - c. Passes unanimously
      2. SHARED\_Retention\_Schedule\_TRIO\_Student\_Records.pdf
        - a. Danielle gave overview and review of what was updated from last meeting.
        - b. Contains demographic information, statistical information, place some records in navigate, SSS grant program in Salina separate department and will be notified that the retention schedule has been created, SSS is federal name of grant,
        - c. Cliff moved, carolyn second
        - d. Unanimous passed
    - ii. Libraries:
      1. Retention\_Schedule\_Libraries\_Licensing\_Records.pdf
        - a. Danielle gave overview of the retention schedule.
        - b. Counter is an acronym and should be spelled out, counter data, contracts/licensing supporting documentation. "Includes final contracts for licensing and supporting data, remove counter reference out. 15

- cld years from final contract. A14 or A25 possibly covers agreements,
    - c. Approve as amended Hannah moves, Cliff seconds,
    - d. Passed unanimously
  - b. Records Management Month
    - i. SHRED Day
    - ii. Trainings:
      1. *Records Management and Data Governance Q&A* April 9: 10:30 - 11:30 p.m. (Zoom)
      2. *RM101* April 19: 2-3:30 p.m. (Zoom)
      3. *RM101* April 23: 11:30-1 p.m. (Hale Library 581 and Zoom)
      4. *Shared Drive Clean-Up Training*: upon request
- V. Old Business: (5 mins)
- VI. Committee Announcements: (5-10 mins)
  - a. Danielle gave update on where AI policy is in the approval process
- VII. Upcoming:
  - a. Retention Schedules
    - i. Revisiting older ones
    - ii. Beach Museum
    - iii. Archeology Lab
  - b. ERPs
    - i. Maxient
    - ii. Alma Update
    - iii. Islandora
    - iv. BRI Systems
- VIII. Adjourn
  - a. Meeting adjournment at

<u>FUTURE MEETINGS:</u>	<u>UPCOMING STATE BOARD MEETINGS:</u>
RIMC - May 14, 2024	SRB – April 18, 2024
RIMC – June 11, 2024	SRB – July 18, 2024
	SRB – October 17, 2024

## University Records and Information Management Committee meeting

Agenda, 06/11/2024, 9:00 a.m.–10:00 a.m.

Attendees: Danelle Hall, Ryan Leimkuehler, Cliff Hight, Megan Williamson (guest Archeology Lab), Hanna Manning, Abby Lear, Carolyn Jackson, Scott Finkeldei, Aaron Good, Samantha (OGC guest), Xiang Chen, Chris Buchanan, Jeff Hauser, Jessie Blom (KSHS), Angie Nabors, Megan Burton (KSHS),

Zoom, <https://ksu.zoom.us/j/94301190332?pwd=TDUvUmE3djUrenhDc2ZteWhrakQ2QT09>

or Hale Library 508g

- I. Welcome and standard business (<5 mins)
  - a. Introductions
    - i. Scott Finkeldei
- II. April Minutes: Minutes\_RIMC2024-04-09.docx
  - a. Changed Hannah to Hanna
  - b. Ryan moved Hanna second
  - c. Motion approved unanimously
- III. New Business: (50 Minutes)
  - a. Retention Schedules (30 min)
    - i. FMLA (revised):
      1. Retention\_Schedule\_Revised\_FMLA.pdf
        - a. Danielle gave overview of the update
        - b. Office managed before they are collecting back to February 1<sup>st</sup> 2023.
        - c. Check when does the timer start for the FMLA for the records, check the general schedule for language
        - d. Cliff moved, Scott second
        - e. Passed unanimously
      - ii. McPherson Extension:
        1. Retention\_Schedule\_McPherson\_County\_Employees.pdf
          - a. Danielle gave overview of the need for new retention schedules
          - b. Follow employee personnel files 0025-100
          - c. Work with County and Extension office to resolve how the
        2. Retention\_Schedule\_McPherson\_Programs.pdf
          - a. Hanna moved to approve; Ryan seconded
          - b. Passed unanimously
        3. Retention\_Schedule\_McPherson\_County\_Training.pdf
          - a. Clarification – extension training materials for county extension employees

- b. KSRE implementing training
      - c. Cliff moved, Scott seconds
      - d. Passed unanimously
    - iii. Archaeology Lab
      - 1. Retention\_Schedule\_Archeology\_descissioned.pdf
      - 2. Retention\_Schedule\_Archeology\_Current.pdf
        - a. Danielle gave overview of the schedules
        - b. Comment was made to possibly combine the retention schedules
        - c. Archeology Lab Collection Records
          - i. Records relating to archeological collections (include types of records second sentence),
          - ii. Comments: records are kept in office permanently unless they are deaccessioned, and transferred records to archives, records relating to NAGPRA and collection,
          - iii. Cite CFR and restrictions for federal, state
          - iv. 43 CFR Part 10
          - v. Ryan moved to approved, Hanna second
          - vi. Passed unanimously
  - b. AI Policy (20 Minutes)
    - i. Version 2 of KSU Generative AI Policy.docx
    - ii. Groups who have viewed
      - 1. Central IT
      - 2. Data Governance Steering and Steward Committees
      - 3. FSCOT
      - 4. General Counsel – Endorsing it
      - 5. RIMC
    - iii. Upcoming Groups
      - 1. Data Governance Steering and Steward Committees (second review)
      - 2. RIMC (second review)
      - 3. Faculty Senate
      - 4. Cabinet
    - iv. Danielle gave overview of the need for the policy and what has changed since the first review.
- IV. Old Business: (5 mins)
- V. Committee Announcements: (5-10 mins)
- VI. Upcoming:
- a. Retention Schedules
    - i. Revisiting older ones



- ii. Beach Museum
    - iii. Faculty Senate
    - iv. Powercat Financial
  - b. ERPs
    - i. Maxient
    - ii. Alma Update
    - iii. Islandora
    - iv. BRI Systems
- VII. Adjourn
  - a. Meeting adjournment at

<b><u>FUTURE MEETINGS:</u></b>	<b><u>UPCOMING STATE BOARD MEETINGS:</u></b>
RIMC – July 9, 2024	SRB – July 18, 2024
RIMC – August 13, 2024	SRB – October 17, 2024

We are in quorum  
Ryan is traveling  
With school starting has been hectic thanks for coming

Danielle Hall  
Hann Manning  
Chris Buchanan  
Carolyn Jackson  
Scott Finkeldei  
Kelley Brundage  
Jeff Hauser  
Abby Lear  
Kerri Cole  
Xiang Chen

No comments on minutes, motion to approve. Motion by Carolyn  
Second by Kelley  
Minutes pass

3 retention schedules this month

- BRI
  - Reports, records, and operations of BRI sponsored, federally required, and external. 3 calendar years + current. Because of federal retention schedules so University needs to have one that match. You don't need to bring it into the archive. It can be destroyed. They are using a secure Y drive and ERP for the next meeting.
  - Questions:
    - § What about Office of Research Integrity, Compliance and Security (formerly URCO) training? Those are separate.
    - § Why 4 years? Matches federal policy and practice is to be destroyed after 4 since federal has the right to access after schedule.
  - Motion to approve. Motion by Hannah
  - Section by Carolyn
  - Passed. Moves to State record board in October
- Faculty Senate Administrative Records
  - Administrative working documents, leadership council, constitutional amendments. Contains personal information and internal university business. They are considered vital records and are restricted to access. Will be brought into the archives. ERPs are OneDrive and CatFiles. Full migration to OneDrive. 5 calendar years. Some HR, FERPA, drafts records.
  - Questions: What about the word Administrative in the name? They are a mix of open and restricted, so I'm not sure if they fit.
  - Mistake in which restrictions of records 45-221 (5) should be 221 (6). Changed by Danielle.
  - Danielle will reach out to Aaron about the title for input.
  - Motion to approve after discussion with Aaron on final word. Motion by Carolyn
  - Second by Scott
  - Motion Passed. Will share name decision at next meeting
- Faculty Senate Executive Records

- The bulk of Faculty Senate records will lie in this policy. Establishment, membership, policies, finalized constitution, committee work but does NOT include leadership council. Is not restricted. Is open to public. Are already being captured into archives from web publishing. Paper versions are being shared with Archives. Is otherwise like the Administrative Records policy. Is a vital record. ERP is moving from CatFiles to OneDrive.
  - Questions: None
  - Motion to pass. Motion by Hannah
  - Second by Kelley
  - Motion Passed. Will go to State Records Board in September.
- Update multiple ERPs in progress. Beach, Maxient, and Libraries. Also working on at least 3 other retention schedules for BRI.
- IT policy changes – broad review to modernize and cyber security changes.
  - They are being made to modernize outdated policy and to respond to needs for university policy changes and to respond to cybersecurity related needs.
  - Chad Currier will come to talk and work with RIMC to review.
  - Kelley - We need to be careful about how much state law is in it when federal law takes precedent. We have run into a lot of problems with conflict between the state and federal. There are a lot of changes in FERPA and Financial Aid and others that will supersede a lot of state and records policy. It needs to be read very generic and carefully.
  - Kelley shares that enterprise and key units' leadership are not seeing these yet, and they are already making it around to committees. She is worried about implementation and changes to federal law that supersede state law. There are concerns about things like the 'one' email retention policy as there are a variety of cases.
  - We need to be very careful that we don't create a university email policy that impacts the policies that offices like Registrar have. Deleting all emails after a certain period of time is not acceptable.
  - Danielle – please review the IT policies so that she can be ready for a meeting with Chad
  - The link is on Teams RIMC channel. Link is in Posts and in Files > Draft IT Policy.
- Using Generative AI draft
  - Have reached out to Provost Mendez and CIO Bunton about ownership.
  - There are other AI policy discussions. Research and academic/classroom are other discussions and maybe an overarching chapter.
  - Presenting with the Library next week to talk about policy and implementation.
  - Communication, training and support will have to follow this policy and to all our university campuses and partners.
  - Danielle is developing a Using Generative AI with University Data FAQ and is using current questions and working on refining. This will be available along with policy review to help support that document and discussion.
  - Discussion: It does have an annual review built in but we may need to review every quarter or more frequently. We need to think about and manage changes. WSU is working on a policy. KU is taking the road of using tools and then possibly creating the policy after.
- Old Business
  - W: Drive work is moving. Working with Chad Currier. The 2025 completion date is a concern. Resources are limited. Have cleaned up 10 74' trailers of physical space when you do the math on KBs to physical storage.
  - Revisiting older retention schedules (from around 2020 or so). Danielle wants to review schedules at least every 5 years. BRI, Beach, Maxient, Islandora are upcoming.
- Announcements or updates

- Carolyn: Discussion of upcoming federal ADA updates to require captioning/transcripts on all documents by April 2025. We need to work with SAC and Jason Maseberg-Thomlinson to ensure we are covered in RIMC policy and practice to ensure we are in compliance. We have limited resources and there is a lot to do.
  - § Kelley: Go higher than SAC and Jason. There is a large executive committee working on this as well. Maybe talk with Laurel, Provost and President to work on this. Much of this will take other resources like IT, to fix forms. Legal counsel and others need to be involved and what guidance is needed. There is a lot to consider and coordinate on this.
- Closing: Please add notes to Teams space, comments in our review documents. Meeting next month to continue reviewing and moving forward.

- I. Welcome and standard business (<5 mins)
- II. Minutes: [Minutes\\_RIMC2024-08-13.docx](#)
- III. New Business: (35 Minutes)
  - a. Retention Schedules (35 min)
    - i. We did not have a quorum and so we will be voting on these via email.
    - ii. BMA:
      - 1. Retention\_Schedule\_BMA\_Administrative
        - a. Megan suggested to consider breaking apart with functions of their job. Break them down into smaller groups and individual retention schedules.
        - b. Hanna: Statute #34, do they use it for research purposes? Someone is donating a body of work that does have transfer of intellectual property rights
        - c. Megan: get rid of #39, covered in 30
        - d. Via email voting: this retention schedule passed with 9 yes votes.
      - 2. Retention\_Schedule\_BMA\_Accreditation
        - a. No questions/comments
      - 3. Retention\_Schedule\_BMA\_Works
        - a. Megan: Statue #23(circulation records, patron information)
        - b. Megan: add just a little bit more information such as if it is a class, does it include what they are pulling, et.
        - c. Via email voting: this retention schedule passed with 9 yes votes.
      - 4. Retention\_Schedule\_BMA\_Environmental
        - a. A suggestion was made to put in what happens if an event is reported
        - b. Update that it is considered a vital record
        - c. Megan: that is what it is labeled on at the state level.
        - d. Via email voting: this retention schedule passed with 9 yes votes.
- IV. Old Business: (5 mins)
  - a. AI (5 Minutes)

- i. [Version 3 Using Generative AI with University-Owned Records and Data Policy.docx](#)
    - ii. [FAQ Document](#)
      - 1. Please look at these by October 8<sup>th</sup> and give any feedback.
  - b. W:Drive Update (5 minutes)
    - i. Deadline got pushed back a year and is now due in January 2023.
- V. Committee Announcements: (10 mins)
  - a. There is no December ERC meeting.
- VI. Upcoming:
  - a. Retention Schedules
    - i. Revisiting older ones
    - ii. BRI
    - iii. BMA
  - b. ERPs
    - i. Maxient
    - ii. Islandora
    - iii. BRI Systems
    - iv. TMS Sysetm
- II. Adjourn
  - a. Meeting adjournment at 9:45 am

<b><u>FUTURE MEETINGS:</u></b>	<b><u>UPCOMING STATE BOARD MEETINGS:</u></b>
RIMC – October 8, 2024	SRB – October 17, 2024
RIMC – November 12,2024	

## University Records and Information Management Committee meeting

Minutes, 11/12/2024, 9:00 a.m.–10:00 a.m.

Attendees: Danielle Hall, Mary-Beth Rhoads, Chris Buchanan, Abby Lear, Jessie Blom, Theresa Ketterer, Aaron Good, Jeff Hauser, Ryan Leimkuehler, Carolyn Jackson, Scott Finkeldei, Hanna Manning

Location: Hale Library 508g or Zoom,

<https://ksu.zoom.us/j/96431144119?pwd=NDZFRdzFRWkxWUwYwUwNWeUhtWDBKZz09>

- I. Welcome and standard business (10 mins)
  - a. Committee Update
- II. Minutes: Minutes\_RIMC2024-09-10.pdf
  - a. Minutes unanimously approved
- III. New Business: (25 Minutes)
  - a. ERPs
  - b. Brief overview of ERP
    - i. Discussion:
      1. Danielle gave a brief overview of what an ERP is and why they are required to be done.
  - c. TMS (25 min)
    - i. ERP\_TMSCollections.pdf
      1. Supporting documentation
      2. Business Continuity \u0026 Disaster Recovery Policy v.1.0.pdf
      3. Incident Management Policy\_Gallery Systems.v.1.1.pdf
    - ii. Discussion:
      1. It was clarified that the location of the servers is being run by AWS in the east region of North America.
      2. Ryan asked for more clarification on 2.1. and it will be altered to show that it is a permission-based system. And documentation restrictions are based on clearance.
      3. For 2.2. It was asked if it is possible to go back into past logs and for how long. Beach Museum clarified that users could go back to logs nightly and that logs will be kept for the past 3 months.
      4. Ryan asked if the file formats could be exported to JPGs or PDFS. This was clarified that they can be, as long as they are under 10,000 KB.
      5. Vote to advance amended ERP to ERC approved. Hanna Manning moves; Carolyn Jackson seconded
- IV. Old Business: (15 mins)
  - a. AI (5 Minutes)
    - i. Discussion:
      1. Danielle gave a quick update on the AI Policy and informed the committee that the policy will be taken over by the Office of the Provost.
      2. She also informed the committee that a larger group will be created to work on the new version and expects herself and/or Ryan to be on that committee.

- b. W: Drive Update (5 minutes)
      - i. Discussion:
        - 1. Danielle gave an end of the year update.
          - a. 26 groups are completed, and we have shrunk the footprint by over 1 TB.
- V. Committee Announcements: (10 mins)
  - a. IT update (Scott Finkeldei)
    - i. Scott informed the committee that the Division of Communications and Marketing are about to offload some of the old K-State Today articles into Archivelt.
    - ii. Scott also gave some new hire updates within IT.
  - b. Training
    - i. Both Hanna and Scott recommended talking to Learning and Development or Tanya, in the Office of the Provost, about making Records Management a required online training.
      - 1. Before that happens, Danielle and Hanna talked about meeting to go over the Open Records Act about what has been updated.
- VI. Upcoming:
  - a. Retention Schedules
    - i. Revisiting older ones
    - ii. BRI
  - b. ERPs
    - i. Maxient (close to being done, we will review it next Month)
    - ii. Islandora
    - iii. BRI Systems
- II. Adjourn
  - a. Meeting adjournment at 9:49 am

<u>FUTURE MEETINGS:</u>	<u>UPCOMING STATE BOARD MEETINGS:</u>
RIMC – December 10 <sup>th</sup>	
RIMC – January (NO MEETING)	
RIMC – February 11 <sup>th</sup>	