1. **Policy Purpose Statement**

This policy describes how Kennesaw State University (KSU) manages records and data assets in compliance with University System of Georgia (USG) Records Management Policies and Records Retention Guidelines.

The document sets out guidelines for a strategic, disciplined, consistent approach to the governance of Kennesaw State University’s information assets, collectively referred to as “records.” The objective of the policy is to strengthen the efficient and effective documentation of program and service delivery, to foster informed decision making, and to preserve and ensure access to records of historical significance for future generations.

2. **Background**

This policy was created to implement USG policies and guidelines for managing the complete lifecycle of records and information, regardless of format, to comply with applicable laws and regulations, and to establish best practices of records and information management. USG institutions are required by law to create and maintain complete and accurate records that document the conduct of the business of its respective offices. All records created or received in the course of work are records of the state and must be managed accordingly.

3. **Scope (Who is Affected)**

This policy applies to all individuals who create, store, use, maintain, preserve, protect, and dispose of Kennesaw State University records and information.

4. **Exclusions or Exceptions**

Exclusions or exceptions will be evaluated on a case-by-case basis.

5. **Definitions and Acronyms**

**Active or Current Records:** A record referenced often in the conduct of current departmental business (USG Records Management and Archives-Glossary). PLEASE NOTE: retention and disposition do not apply to active records, only to records classified as inactive.
Destruction Date: The date which marks the end of the legally required retention period for non-permanent records and the time when records should be destroyed unless the records are involved with or relevant to audit, litigation, or continuing administrative action (USG Records Management and Archives-Glossary).

Disposition: The actions taken regarding records which are no longer needed to support ongoing administrative activities in accordance with the University Records Retention and Disposition Schedule. Disposition actions may include destroy, transfer to the University Archives, or retain for long-term preservation (USG Records Management and Archives-Glossary).

Inactive Records: Records no longer required by their creating unit or other units to carry on current business and therefore ready for final disposition in accordance with the University Records Retention and Disposition Schedule (USG Records Management and Archives-Glossary). Inactive records must be retained for evidence of operations, to fulfill legal obligations, or to preserve history. Retention begins when a record becomes inactive; final disposition is determined by the Retention Schedule.

Institution Records Management Officer (IRMO): The University System of Georgia requires the head of each USG Institution to designate an Institution Records Management Officer (IRMO). The authority and responsibility for overseeing each Institution’s compliance with its legal obligations regarding records management are vested in the Institution head and delegated to the Institution Records Management Officer. This designated individual is responsible for implementing the Records Management Policies and Procedures of the USG as contained herein and creating and implementing the Records Management Policies and Procedures of the institution. The IRMO serves as the Institution’s contact with USG Legal Affairs and the Georgia Archives (USG Records Management Policies). The role of IRMO is assigned to the Executive Director of the Department of Museums, Archives and Rare Books at Kennesaw State University.

Record format: Physical characteristics of recorded information, such as paper, film, or digital file.

Records: Recorded information in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business and kept as evidence of such activity. Georgia statute defines records as all documents, papers, letters, maps, books (except books in formally organized libraries), microfilm, magnetic tape, or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in performance of functions by any agency (Official Code of Georgia Annotated, § 50-18-91[5]) (USG Records Management and Archives-Glossary).

Records and information management (RIM): A framework of policy, procedures, and technology that aims to identify, classify, appraise, preserve, and dispose of records to satisfy and support an organization’s record-keeping requirements.

Records retention schedule: Instructions for what to do with public records (based on administrative need and legal requirements) from their creation, through active and inactive use, to their destruction or retirement. The schedule provides a minimum period of time that a specific type of record must be preserved (USG Records Management and Archives-Glossary). The Retention Schedule is the primary tool of a RIM program that serves as a standard for records categorization for retention purposes as well as the authority for final disposition.
Retention period: The period of time during which records must be kept before they are either destroyed or stored in an archival area (i.e., records as of June 30, 2007, having a retention period of three years should be kept until June 30, 2010) (USG Records Management and Archives-Glossary).

6. Policy

Records of the University shall be managed efficiently and effectively to maximize value and minimize risk to the organization; specifically, to provide evidence of sound decision-making, proper fiscal management, and compliance with policies, laws, and regulations; to support the ongoing mission of education and research; and to preserve its history within the community.

The attached schedule (Appendix A) will serve as KSU’s standard for classifying and determining final disposition of University records and, being derived from the USG Records Retention Guidelines, will serve as the authorization for disposal of University records.

Documentation of the disposition of all records, except for transitory records, shall be maintained and made available by the IRMO for examination in compliance with this policy.

7. Associated Policies/Regulations

   b. USG Records Management Policies: https://www.usg.edu/records_management/guidelines
   c. USG Records Retention Schedules: https://www.usg.edu/records_management/schedules/
   d. USG Business Procedures Manual, Section 12.3.5, Data Lifecycle: https://www.usg.edu/business_procedures_manual/section12/C2821/#p12.3.5_data_lifecycle
   e. General Data Protection Regulation Compliance Policy: https://kennesaw.policytech.com/docview/?docid=78&public=true

8. Procedures Associated with this Policy

   a. KSU Transfer to Archives - MARB Collection Management Handbook (2021) 1-3-1 Appraisal, 1-3-2-2 Acquisition Methods
   c. KSU Data Disposition Process

9. Forms Associated with this Policy

   Physical Records:
   a. Offsite Storage Request: https://records.kennesaw.edu/forms/offsite_storage.php
   b. Offsite Storage Transmittal Form: https://records.kennesaw.edu/forms/
   c. Paper Records Disposal Form: https://records.kennesaw.edu/forms/analog_disposal.php
   d. Request for Consultation: https://records.kennesaw.edu/forms/best_practices.php

   Digital Data and Records:
   a. Data Disposition Checklist
   b. Certificate of Destruction-Data and Electronic Records
10. Violations

Violations will be reported to the IRMO who will communicate them to the Data Trustee. Final decisions regarding violations rest with the Executive Data Governance Committee.

11. Review Schedule

The KSU Information Governance Committee will review this policy annually.
Appendix A. KSU Records Classification, Retention and Disposition Schedule

Note: This schedule applies to non-current, inactive records in all formats.

A. TRANSITORY RECORDS (0-2 years)
Records with little or no documentary or evidentiary value. Common examples: Internal memoranda and correspondence that require no administrative action, policy decision, or special handling; interim workpapers; drafts, raw data incorporated into another system, file or document. Disposition: Destroy after no longer useful, up to two years after creation.

B. ADMINISTRATIVE SUPPORT RECORDS (5 years)
Records that support general operations and administration but do not substantially document specific programs or ongoing mission of the organization. Common examples: General accounting records; routine administrative reports. Other examples: Employee training records; student athletes medical records; student advising records. Disposition: Destroy five years after student separation from KSU; destroy five years after the record is classified inactive at the end of the calendar year.

C. OPERATIONAL, BUSINESS AND LEGAL RECORDS (10 years)
Records that document and protect the legal rights, responsibilities, and interest of individuals or the institution. Common examples: Institutional strategic proposals and plans; personnel files; general ledger reports; legal case records. Other examples: Bids, expired contracts and agreements; syllabi and course descriptions; events administration. Disposition: Destroy ten years after the record is classified as inactive, at the close of the calendar or fiscal year.

D. EXCEPTIONAL RECORDS (variable and long-term)
Records that document activities and circumstances that are based on variable retention terms as defined in statutes, policies, or regulations. Examples: Programs serving minors; hazmat records; certain criminal investigation files. Disposition: Destroy after specific retention is met.

E. ENDURING RECORDS
Records appraised by an archivist to have sufficient documentary value to the organization to justify enduring preservation. Examples: College course catalogs; commencement and graduation publications; department and college administrative and teaching histories; final summary reports; final annual budgets and financial statements; accreditation reports; presidential and cabinet-level meeting minutes, significant correspondence. Disposition: Transfer to institutional archives or maintain in historical recordkeeping data system.