



## IRM-017 Records Management

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**Status** Final

**Last Revised** Tuesday, July 20, 2021

**Policy Type** [University](#)

**Contact Office**

[University Records Management Office](#) [Medical Center Risk Management](#) [College at Wise Library](#)

**Oversight Executive**

[Executive Vice President and Chief Operating Officer](#)

**Applies To**

Academic Division The Medical Center The College at Wise University-Associated Organization

**Table of Contents**

[Policy Statement](#)

1. [Agency Requirements](#)
  - A. [Records Management](#)
  - B. [Special Records Requests](#)
2. [University-Associated Organizations](#)
3. [Responsibilities](#)
4. [Compliance with Policy](#)

[Procedures](#)

**Reason for Policy**

The University of Virginia is committed to adhere to best practices for the management of all University records regardless of format to:

- Comply with state and federal statutory requirements, including the Virginia Public Records Act.
- Reduce risks associated with unintended disclosure of sensitive information.
- Respond efficiently to record requests and preservation orders.
- Protect vital and historical information about the University.

**Definition of Terms**

**[Archival/Historical Records](#)**

University records that document transactions or activities of the University designated by the University Archives and/or designated historical records repository, the agency's designated records officer and the Library of Virginia as having long-term historical value in the Records Retention and Disposition Schedules. Records with historical value may include documentation of decisions, activities, and products of the University. Examples of historical records include but are not limited to: Board of Visitor meeting minutes, President's correspondence, research final reports and accreditation records.

**[Records Officer](#)**

An appointed official designated by the state agency who is responsible for providing standards, procedures, training and guidance to meet requirements for the proper management of University records. Appointments of agency records officers must be filed with the Library of Virginia per state code [§ 42.1-85 C](#).

## **Records Retention and Disposition Schedule**

A listing of records series, approved by the Library of Virginia, that provides retention and disposition instructions for University records.

## **Disposition**

Final destruction or transfer of records to the proper archival repository.

## **Retention**

The length of time records should be kept in a certain location for administrative, legal, fiscal, historical, or other purposes.

## **University Records**

Recorded information that documents a transaction or activity by or with any appointed board member, officer, or employee of the University. Regardless of physical form or characteristic, the recorded information is a University record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of university business. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a University record. University records include but are not limited to: personnel records, student records, research records, financial records, patient records, and administrative records. Record formats/media include but are not limited to: email, electronic databases, electronic files, paper, audio, video, and images (photographs).

## **Policy Statement**

The University of Virginia will comply with federal and state statutory requirements and specifically, the Virginia Public Records Act, in the handling of University records.

### **1. Agency Requirements:**

The Academic Division (Agency 207), the Medical Center (Agency 209), the College at Wise (Agency 246) must:

#### **A. *Records Management:***

1. Comply with retention and disposition instructions in the individual agency's Records Retention and Disposition Schedules approved by the Library of Virginia. [Note: For the Academic Division, see [University Records and Retention Schedules](#). The Medical Center and the College at Wise Records and Retention Schedules are published on each respective website.]

2. Store physical records in compliance with the [Institutional Physical Records Storage Standards](#) for onsite and offsite locations. Offsite storage requires review and approval of the agency's designated records officer.
3. Store electronic records in accordance with the [Institutional Data Protection Standards](#) and guidelines from the agency's records officer for management and authenticity.
4. Destroy University records once the retention period in the [University Records Retention and Disposition Schedules](#) has expired. A [Certificate of Records Destruction \(RM3 Form\)](#) must be approved by the agency's records officer as required by the Virginia Public Records Act before destruction. [Note: For the Academic Division, see [Destruction of Public Records](#). The Medical Center and the College at Wise Records and Retention Schedules are published on each respective website.]

#### **B. *Special Records Requests:***

##### **1. *Historical/Archival University Records:***

Transfer records designated with historical/archival value, as listed in the Records Retention and Disposition Schedules, to the designated archival repository.

##### **2. *Audits, Court Orders, Investigations and Freedom of Information Act Requests:***

Retain all records requested or placed on hold by internal offices (such as General Counsel, Internal Audit, Office of Sponsored Programs, Public Affairs, Medical Center Corporate Compliance and Privacy Officer, etc.) until cleared by the office placing the hold, regardless of retention requirements. Offices placing holds or requests for University records should copy the agency's records officer on all notices.

##### **2. *University-Associated Organizations (UAOs):***

While University-Associated Organizations are not subject to the Virginia Public Records Act, UAOs are strongly advised to follow best practices for records management. UAOs may use consulting services provided by the University Records Management Office (Agency 207) in conjunction with proper records management.

##### **3. *Responsibilities:***

The ***agency records officer*** is responsible for developing standards, guidance and providing assistance to organizational units within their agency for managing University records, including designation of confidential or records containing highly sensitive data.

***All Academic Division, Medical Center, and College at Wise employees (faculty, staff, and board members)*** should receive records management information about their responsibilities as an

employee/board member at the time of hire/appointment. Each agency will determine the area responsible for providing records management information. For the Academic Division, University Human Resources will provide such information.

**Supervisors** should support additional records management training for their employees from the agency's records officer or other approved compliance-related training that includes standardized information on records retention and compliance with the Virginia Public Records Act.

#### 4. **Compliance with Policy:**

Failure to comply with the requirements of this policy may result in disciplinary action up to and including termination in accordance with relevant University policies.

Questions about this policy should be directed to the [University Records Management Office](#), [Medical Center Risk Management](#), or the [College at Wise Library](#).

### **Procedures**

For the *Academic Division*:

All Academic Division (Agency 207) guidance and procedures are available on the [University Records Management Office website](#).

[Destruction of University Records and Certificate of Records Destruction \(RM3 form\)](#)

For the *Medical Center*:

Medical Center (Agency 209) guidance and procedures are available on the [Records Management website](#).

For the *College at Wise*:

College at Wise (Agency 246) guidance and procedures are available from: the Cataloging Librarian, [acv6d@uvawise.edu](mailto:acv6d@uvawise.edu).

All other agencies and University-Associated Organizations may contact the University Records Management Office for assistance with guidance and procedures for records management.

### **Related Information**

[Virginia Public Records Act](#), Chapter 7 of Title 42.1 of the Code of Virginia (§ 42.1-76 et seq)

[Virginia Freedom of Information Act](#), Chapter 37 of Title 2.2 of the Code of Virginia (§ 2.2-3700 et seq)

University Policies:

[IRM-003: Data Protection of University Information](#)

[IRM-016: Use of Email as Official Means of Communication with Students](#)

[RES-002: Laboratory Notebook and Recordkeeping](#)

[STU-002: Rights of Students at the University of Virginia Pursuant to the Family Educational Rights and Privacy Act \(FERPA\)](#)

Medical Center Policies:

[0223: Government and Regulatory Investigation Response](#)

[0266: Records Management: Records/Document Retention and Disposition](#)

**Major Category** [Information Resource Management](#)

**Next Scheduled Review** Tuesday, January 15, 2019

**Revision History**

University-Related Foundation changed to UAO 5/10/22; Added Compliance section 7/21/21; Updated links 9/14/17, Updated Oversight Executive, 5/30/17, Revised 1/15/2013.

**Applies To Text**

Academic Division, the Medical Center, the College at Wise, and University-Associated Organizations.

**Policy Summary**

This policy supports the consistent, efficient, and comprehensive management of University records. It establishes expectations for all University state agencies (207, 209, and 246) to comply with the Virginia Public Records Act via standards and guidelines issued by agency designated records officers for the management of University records. It clarifies that University-Associated Organizations are not subject to the Virginia Public Records Act but are strongly advised to follow best practices for records management.

**Supersedes Policy Text**

II.C.I, Records Retention and Disposition.

**Last modified** March 5, 2024 - 10:24am

**Approved By** Policy Review Committee

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