River Park University

Records and Information Management Strategic Plan

2018-2019

RPU

August 14, 2018

River Park University

Records and Information Management

708-555-1234

Table of Contents

Executive Summary

River Park University (RPU), a private institution of higher education, is located just outside the Chicago city limits in River Park, Illinois. RPU was founded in 1905 and is affiliated with the Catholic Church. RPU has 8,000 students and 1,000 faculty and staff, in two locations: River Park (Main) and the Chicago loop (Loop). River Park is the flagship campus, with approximately 1,000,000 square feet of campus space including academic and residential buildings. The Chicago loop campus occupies the 18th through 21st floors of the Blue Cross/Blue Shield building on Randolph Street.

The different departments identified on campus that create and maintain records that will be referenced in this report are Records and Registration, Human Resources, Bursar and Office of Record, Financial Aid, Operations, Administration, University Archives, Academic Departments and Education, Information Technology, and University Relations. These comprise the 10 buildings on main campus that are currently storing records in their basements.

Statement of Need

Dr. Karen Turner, President of River Park University, walked through the consultation with Danielle Oakes, Director of Records and Information Management, to point out the areas of need in summer 2018. During this process, a log was created of all existing physical repositories in the organization. During an interview with Turner, Oakes evaluated any policies in place for records and information management, staff knowledge and compliance with policies, confidential or sensitive records with required limited access stored or destroyed properly, records access and retrieval, if record storage is sufficient and cost-effective, a record retention schedule and compliance, and internal audits. This investigation concluded the following issues need to be addressed immediately by a new Records and Information Management (RIM) plan.

1. Archives are kept in boxes in the basement of 10 buildings. These items are stored in banker's boxes labeled with the owner of the department. Some boxes are not labeled. RPU sits on a flood plain and the University has been labeled high risk for a flood.
2. There is no central repository for archives. Dr. Turner said there is no available physical space on campus.
3. Numerous copies of official records are being found in various offices because no official document or copy has been named.
4. The Financial Aid department was not given access to needed documents from Admissions and was forced to create and maintain their own complete files. Financial Aid department keeps a large, paper file with all pertinent student documents in their office (some documents containing personally identifiable information such as social security numbers). Additionally, Financial Aid keeps paper copies of applications and transcripts submitted to the admission office for reference. When questioned by the consultants, the Director of Financial Aid stated if a copy of the admission application was not provided to their office, staff members would have no access to the documents (which is needed for Financial Aid processing).
5. Accounts Payable is receiving unnecessary paper forms because the policies for check requests have become outdated to the means check requests are processed. The Accounts Payable office receives, on average, 100 check requests a week from other areas on campus. Each check request entails a triplicate paper form, original receipts and other supporting documentation.
6. Policies on handling sensitive files or information need to be addressed. The Director of Human Resources brought an issue to our attention. The loop campus of RPU recently had a situation where the hiring paperwork of a faculty member (Form I-9, copies of identification, payroll authorization form, etc.) was lost during the transport of an inter-office envelope by a student worker to the main campus in River Park. Apparently, the student worker put the envelope in his backpack and forgot to drop the paperwork off at Human Resources before going to class on the main campus. The paperwork was

recovered the next day. A temporary rule to process all paperwork on the main campus was put into place.

7. Paperwork rules regarding location make files inaccessible to some faculty and staff during regular staffed hours. Public Relations asked that this change.

8. There is no existing Emergency Plan for Disaster Recovery. Director of Internal Audit expressed concern about disaster recovery and weather related events. There is a need for an E-plan in place for natural disaster.

9. The existing electronic records management policy needs revision or clarification. This policy is overseen by the IT Dept. *All emails will be deleted after 90 days, regardless of content or owner.* Departments who wish to save certain emails are printing them or using unauthorized means to save emails.

10. There is no policy for retention, deletion, and department management of any volume or network drives. The current policy is enforced by the IT department and requires 30GB to be deleted at random if each department does not delete 30GB on their own. Chief Information Officer complained the shared drive space file volume for five departments is well beyond the typically allotted maximum amount of storage space. The CIO refuses to purchase any additional storage for the departments, which has caused friction between the five department heads and his office. The CIO gave the departments an ultimatum during the last cabinet meeting: they have sixty days to get rid of 30 GB of file storage each or he would direct IT employees to arbitrarily delete items.

11. The University Archives is not receiving files of historical value from other departments on campus. Director of Archives and Special Collections sheepishly reported to Dr. Turner that massive "holes" exist in the archival history of the university. In fact, the Archives & Special Collections rarely receives records and would like to see an influx to document the history of the institution. In a recent university celebration, the Archives & Special Collections area was publically embarrassed by the Board of Trustees for having few historical artifacts for the last twenty years.

12. There is no Records Retention Schedule currently in place. Dr. Turner is convinced departments are not getting rid of old records because a Records Retention Schedule does not exist at RPU. She's had talks with the internal Office of General Counsel regarding establishing a Records Retention Schedule, but RPU's in-house lawyers were busy with other pressing matters.

About the Research

Works Consulted:

Arma International. (2014). *Generally Accepted Recordkeeping Principles*® [Ebook] (pp. 1-9).

ISO 15489-1 Information and Documentation – Records Management: General

ISO 15489-2 Information and Documentation – Records Management: Guidelines

Kahn, R., & Blair, B. (2009). *Information nation*. Indianapolis, IN: Wiley Pub.

Saffady, W. (2011). *Records and information management*. Lenexa, Kan.: ARMA International.

Processes Used:

The consultation with Dr. Karen Turner involved a walkthrough of each department. She recalled different interviews or emails with departments outlining the needs. A consultation has clear information and detailed results as well as direct observation. No further questionnaires are needed until a RIM program has begun.

Terminology:

A record is defined in this report as a physical or electronic object that contains information created, received, maintained, or used by River Park University pursuant to its mission, operations, and activities.

About the Records and Information Management team:

Danielle Oakes was hired in 2018 to start a formal RIM program at RPU. As Director of Records and Information Management, Danielle works closely with Information Technology (IT) and the University Archives (UA) while serving as the primary compliance agent.

After consultation, one person from each department was selected as a Records Coordinator. Each of these Records Coordinators works with the Director of Records and Information Management to ensure implementation and compliance of the new RIM plan. After the plan has been implemented, the Records Coordinators will continue to evaluate the effectiveness of the RIM plan and compliance within their respective departments and report this information to the Director. Each Records Coordinator was given training on expected record management by the Director for uniformity between departments.

The RIM team is making the following initiatives so everyone is familiar with what services the RIM department has to offer them, what resources they have for processing their materials, and what faces they will see around their departments checking compliance with the new policies.

RIM resources- This is a monthly email that will be sent out to faculty and staff of RPU outlining various products such as file folders, correction pens, and labels that can be picked up at the RIM office in the Administration building. Each email contains a tip or tutorial for records management software that is currently in use.

RIMPACT- This is a brief monthly meeting held in each department by the Records Coordinators. Each RC will receive a list of topics or issues from the Director to discuss with their staff regarding records management. These examples will help keep employees aware of what happens with bad records management scenarios and will motivate them to stay on top of good policies. This also offers employees an opportunity to discuss any issues within their department with the RC, who can then discuss or relay the information with the Director.

Mission

The records and information management policy serves as basic instructions for record management across campus. This RIM policy will become the primary governance instrument for all records management activities. Employees will be able to access and reference this policy as a guide. This policy is endorsed by the RIM department, River Park University President Dr. Karen Turner, and the Board of Trustees. This policy is published and available online through the university website or through print copy at the Administration Building.

Vision

The RIM plan and Records Retention Schedule define records management responsibilities throughout the University and in each department. Questions regarding the RIM plan can be addressed by the Director of Records and Information Management, found in the RIM office of the Administration building, or the departmental Records Coordinator.

ISO 15489-1 & 15489-2 give general information and guidelines regarding records and information management. These documents define the importance of a RIM plan within an organization or business by offering rules for a sustainable records system that has been applied in River Park University.

The following items will be implemented with the RIM plan.

Records will be kept in a combination of physical central locations and online shared drives. Access will be restricted to appropriate personnel.

Records will be distinguished from non-records, vital records, and archival records. The official record copy for each record will be defined and all other copies will be considered working copy non-records.

A Records Retention Schedule will be created to meet local, state, and federal requirements for document disposition. Compliance for this schedule will be enforced.

The Office of General Counsel will review all legal aspects of the RIM policies and be responsible for all litigation hold procedures.

An Emergency Plan for Disaster Recovery will be created separately. This policy will safeguard vital and permanent records located on campus by utilizing the facility resources, such as reinforced doors, temperature control, and restricted access. A digital backup of records will be created and stored off-site in case of natural disaster or terrorist attack. This document will be created and reviewed by the Office of General Counsel, published and distributed to all departments, and enforced before the end of the RIM plan. The funds needed for the digital backup will come from the RIM department's budget allocation for this RIM plan even though the E-Plan is a separate document.

Any outside services will be evaluated by the RIM department before contracts are signed. The RIM department is trained to look for certain seals of quality or memberships to ensure that a business meets the high standards of River Park University.

Records Retention Schedule

After reviewing the law requirements for document retention with the Office of General Counsel, here is a recommended Records Retention Schedule for local, state, and federal compliance for various documents and the departments who should be the central repository for those documents. In *Records and Information Management* by Saffady, there is a list of minimum requirements on page 73. These were considered and modified to fit the needs of the University. River Park University has been evaluated against several other institutions within the state to determine the best retention periods for academic environment. This schedule can be updated at any time pending any changes to retention requirements or needs of the University. The schedule should be checked often for the latest version on the website or at the RIM office:

Student Records for Non-Admitted should be kept for one year after enrollment period. These records should be stored with Records and Registration.

Student Records for Admitted should be kept for five years from start date of term. These records should be stored with Records and Registration.

Student Records for Academic Purpose should be kept with varying schedules. Reprimands or enrollment changes should be retained five years. Permanent records such as transcripts and graduations should be retained permanently. Clinical, educational, or supplemental certificates should be kept 75 years for the life of the individual use. These records should be stored with Records and Registration.

Student Financial Aid Records should be kept for three years from the end of the award year. These records should be stored with Financial Aid.

FERPA Compliance Records should be stored for 75 years for the life of the individual use. These records should be stored with Records and Registration.

Administrative Records for Academic Purpose (such as catalogs and curriculum) should be kept for ten years after completion, then transferred to the University Archives. These records should be stored with Records and Registration.

Operations Records should be stored for three years, then transferred to the University Archives. These records should be stored with Operations.

Strategic Records should be stored for five years, then transferred to the University Archives. These records should be stored with Administration.

Policies and Procedures should be stored for three years after superseded in office, then transferred to the University Archives. These records should be stored with Administration.

Human Resource and Employment Records have varying dates between 3-6 years. Those documents are listed on Fact Sheet #21 here:

https://www.dol.gov/whd/regs/compliance/whdfs21.htm See this department's file plan and retention schedule for individual document management. Labor Management files are required to be kept ten years pending no arbitration, then transferred to the University Archives. These records should be stored with Human Resources.

Budget Records should be retained for 5 years after date of generation, then transferred to the University Archives. These records should be stored with Bursar and Office of Record.

Insurance and Tax Records should be retained for 5 years after last day of calendar, then transferred to the University Archives. These records should be stored with Bursar and Office of Record.

Financial Transaction Records should be retained for 5 years after date of transaction. These records should be stored with Bursar and Office of Record.

Contracts should be retained for 10 years after date of completion, then transferred to University Archives. These records should be stored with Administration.

Design and Implementation

Budget: $1 million dollars for 1 fiscal year, full extent of university resources

Staff Involved: Director of RIM, 10 Records Coordinators, IT, Office of General Counsel, Office of President

Summary: *Generally Accepted Recordkeeping Principles* are marked in **bold**. This RIM plan is broken down into 5 parts from idea to re-evaluation. Part 1 is the investigation phase determining what records exist and establishing a team. This part of the plan has been completed prior to the publishing of this document. Part 2 is the creation and approval of policies and procedures documentation. Part 3 is the purchase and install of equipment, distribution of knowledge through publishing of new policies and procedures documentation and training, and creation of an emergency plan. Part 4 is the actual implementation of the RIM plan across campus. Part 5 is evaluation of the plan, establishment of training protocols for future employees, and adjustment of policies that could be more efficient.

Part 1: Investigation: the identification of records and development of a project plan.

- Conduct a Consultation and Survey for RIM plan with Dr. Karen Turner
- Address **Accountability** (*GARP*). Assign Records Coordinators for each department that will report any RIM issues to the Director.
- Address **Integrity** (*GARP*). Train Records Coordinators.
- Identify records, non-records, vital records, and archival records.
- Create or confirm Standard Operating Procedures. Make sure all procedures are documented.
- Analyze the data.
- Prepare the inventory list and review with the departments to make sure nothing was missed.
- Identification of records requirements
- Assessment of existing systems including filing and storage methods, equipment, and media formats.
- Address existing disposition (discard bins from Iron Mountain can remain as is, but require a written policy).

Part 2: Implementation: the beginning of records policies and procedures.

- Address **Retention** (*GARP*). Construct a Records Retention Schedule outlining specific requirements to meet regulatory, legal, and business requirements. Have the legal team review and approve this document. Publish and distribute this document.

- Determine items for transfer to University Archives. Work with UA to write a policy on how to transfer things to the archives. Create supporting documentation (forms) and a policy on storage for the new documents. Publish and distribute this document.
- Address **Disposition** (*GARP*). Determine destruction policies for items that have reached the end of their lifecycle. Write or modify policies on how to destroy records physically and electronically. Create supporting documentation (logs) and a policy on storage for the new documents. Publish and distribute this document.
- Designate official copies of records and make all offices aware of which retains the official copy.
- Rewrite obsolete policies. Create new digital forms as needed. Work with the department that originates or uses the form and the legal team to ensure form meets legal criteria. Publish new forms online and make departments aware of where to find the new forms.
- Work with the legal team on specific retention requirements that would prevent an office from converting to electronic documents. If any physical documents need to be kept, reassess filing cabinets in working areas or work with off-site document storage facility. Retention requirements, restrictions on public access, and considerations for retaining records with long-term value should be addressed at this time.
- Rewrite the policy for email retention. Emails must be managed by content and not by format. Email can have a variety of purposes and relate to a variety of program activities. Messages should be retained as long as records in other formats that document the same program function or activity. Create an archive within the email boxes with a set deletion date. Train employees to delete and archive emails. Create proposed email storage space with allotted spaces so if a user is not complying with the new policy, they will be flagged for attention.

Part 3: Development: new equipment and changes to current operating procedures

- Address **Availability** (*GARP*). Create secure and sharable network storage for files. Create online archives as needed. Train employees how to use this technology and what files should be placed there.
- Purchase scanning equipment and train employees how to scan documents. Make sure all policies accept digital documents and rewrite policies as needed to specify electronic records retention.
- Address **Transparency** (*GARP*). Publish the Records and Information Management Plan and make it available to all faculty and staff.
- Address **Protection** (*GARP*). Establish an Emergency Plan for Disaster Recovery. Create offsite backup for databases and files. Create a policy for maintaining this technology.
- Research online security and present findings to the President. Implement a plan for efficient and cost-effective safety of all online files across River Park University. Restrict access to secure files. Consult with the legal team to ensure the system meets any legal requirements.

- Address **Compliance** (*GARP*). Create a system to check on retention schedules, employee compliance, and task completion. Create and implement a records management training program.
- Promote RIM department knowledge accessibility. Create and publish training videos and handouts on the RIM website. Make sure all employees know that the RIM website is the hub for all records management related documents and updates. Utilize the RIM team to distribute information about RIM programs and policies.
- Establish training for current employees.

Part 4: Startup: employ all new policies and procedures.

- Scan existing paper records into new system starting with most accessed, then newest, then chronologically back to end of retention period.
- Begin accepting electronic document formats for incoming transactions.
- Eliminate carbon footprint where possible.

Part 5: Evaluation: ensure records management system is working. Assess any problems. Make any necessary changes.

- Assess and evaluate maintenance. Eliminate obsolete media formats. Create uniformity across departments so records can be easily shared. Transfer any applicable records to newer formats or work with University Archives to maintain equipment for older archived records.
- Audit, monitor, and measure program compliance through RIM team.
- Establish training protocols for new and future employees.
- Ensure effective consistent program enforcement by auditing disposition and transfer forms.
- Keep evaluating for continuous program improvement.

Timeline

The following timeline has been established to show how parts 1-5 of the RIM plan are implemented through one year. Month 0 is listed as the steps that have occurred prior to the beginning of this RIM plan. Elements from Part 1 are shown in Dark Green. Elements from Parts 2-4 are lighter green on a scale getting lighter the higher the number. Part 5 has no fill color. Completion of the RIM plan is not dependent on the first part being completed before moving on to the next and these illustrations show how multiple parts can take place at the same time. Certain key elements take place in multiple months. Month 12 could represent any future point along the timeline. This separate timeline document is available in PDF upon request from the RIM department.

Month 0	Month 1	Month 2
Survey departments for RIM readiness	Review inventory lists with departments and begin separating records and non-records.	Work with University Archives to determine which types of items will be coming and prepare the office for incoming.
Assign Records Coordinators for each dept.	Review proposed Retention Schedule with legal team, make amendments, and publish.	Implement new email handling policy.
Train Records Coordinators for consistent practices.	Create and publish transfer protocols.	Research online security options for shared files and databases. Consult legal team. Report to President.
Identify records, non-records, vital records, and archival records are present.	Create and publish disposition protocols.	Determine which employees and departments need to access which files for restricted access.
Create or confirm SOPs.	Designate official copies of records and inform all offices of where the official records are stored.	Order new scanning equipment
Analyze data and construct recommended Retention Schedule.	Rewrite outdated policies to include digital formats as needed.	Purchase more digital storage space.
Prepare inventory lists for review with departments.	Create new digital forms or scan in existing paper forms and publish these online.	Create off-site secure digital backup of files.
Assess existing filing systems- physical and electronic.	Work with the legal team to determine any records that require a physical copy and publish findings.	Publish RIM plan and distribute.
Report all findings back to President.	Rewrite the incorrect email policy to address proper email handling.	Establish an emergency plan, consult with legal, and publish.
Compare RIM plan with University goals and mission.	Create email archives for each mailbox with the IT department.	Create a system (forms, staff, audit) to check for compliance on retention schedules.
	Compare RIM plan with University goals and mission.	Create a RIM training program/protocol.
		Promote RIM dept on website
		Update RIM website with all current forms and media.
		Begin RIM Resources email.
		Begin RIMPACT meeting with Records Coordinators.
		Compare RIM plan with University goals and mission.

Month 3	Month 4	Month 5
Create new online shared databases.	Train employees how to use new online databases.	Scan existing paper records into new system.
Restrict access to databases.	Train employees how to use new scanning equipment.	Begin accepting electronic document formats and records instead of paper.
Implement chosen online security.	Train employees how to access files remotely or from satellite campus.	Start setting aside paper documents for disposition.
Receive and install new scanning equipment.	Monthly RIM Resources email.	Evaluate how things are going.
Monthly RIM Resources email.	Monthly RIMPACT meeting.	Check with legal one more time showing them a sample of documents for disposition.
Monthly RIMPACT meeting.	Check compliance with Records Coordinators.	Monthly RIM Resources email.
Check compliance with Records Coordinators.	Compare RIM plan with University goals and mission.	Monthly RIMPACT meeting.
Compare RIM plan with University goals and mission.		Check compliance with Records Coordinators.
		Compare RIM plan with University goals and mission.

Month 6	Month 7	Month 8
Continue scanning existing records.	Continue scanning existing records.	Continue scanning existing records.
Evaluate policies and procedures.	Evaluate policies and procedures.	Evaluate policies and procedures.
Begin disposition of old records.	Continue disposition of old records.	Continue disposition of old records.
Monthly RIM Resources email.	Monthly RIM Resources email.	Monthly RIM Resources email.
Monthly RIMPACT meeting.	Monthly RIMPACT meeting.	Monthly RIMPACT meeting.
Check compliance with Records Coordinators.	Check compliance with Records Coordinators.	Check compliance with Records Coordinators.
Compare RIM plan with University goals and mission.	Audit disposition and transfer forms.	Audit disposition and transfer forms.
	Compare RIM plan with University goals and mission.	Compare RIM plan with University goals and mission.

Month 9	Month 10	Month 11
Continue scanning existing records.	Assess and evaluate maintenance. Begin converting from obsolete formats.	Record any training materials for website.
Evaluate policies and procedures.	Establish training protocols for new and future employees.	Continue scanning existing records.
Continue disposition of old records.	Continue scanning existing records.	Evaluate policies and procedures.
Monthly RIM Resources email.	Evaluate policies and procedures.	Continue disposition of old records.
Monthly RIMPACT meeting.	Continue disposition of old records.	Monthly RIM Resources email.
Check compliance with Records Coordinators.	Monthly RIM Resources email.	Monthly RIMPACT meeting.
Audit disposition and transfer forms.	Monthly RIMPACT meeting.	Check compliance with Records Coordinators.
Compare RIM plan with University goals and mission.	Check compliance with Records Coordinators.	Audit disposition and transfer forms.
	Audit disposition and transfer forms.	Compare RIM plan with University goals and mission.
	Compare RIM plan with University goals and mission.	

Month 12
Continue scanning existing records.
Evaluate policies and procedures.
Continue disposition of old records.
Monthly RIM Resources email.
Monthly RIMPACT meeting.
Check compliance with Records Coordinators.
Audit disposition and transfer forms.
Compare RIM plan with University goals and mission.

Budget

Each team member who was selected to become a Records Coordinator received a 5% raise. Taking the average salary for all positions, The RIM department has estimated that increase in the budget.

RIMPACT meetings were given a catering budget of $50 each month to encourage employees to attend and spread positivity for the program.

Changes to the email policy mandate a new storage allotment for email archives. This has been estimated at an additional $10 each month per department. Dependent on usage, this can be adjusted or taken out of the departmental budget if the usage is not within the expected amount.

The off-site backup server has a monthly maintenance cost of $15,000. This is an average from all months as some will be higher or lower depending on temperature. This is listed as 11 months because it is not purchased or installed before month 1.

11 duplex flatbed scanners are required for ten departments plus an additional as a resource for the RIM office. The example in the budget is an Epson full color scanner at $275 each. The price is average and if an office has only monochrome documents, this item can be exchanged for a black and white scanner with faster speed within that price range.

Server storage for each department's networked drive is estimated at $2870 each. The specs are taken from a Dell Storage NX 430.

Online security is a constant monitoring system. For each department's server, this is estimated at $1500 per month. The same company will charge a one-time fee for installing and preparing software on each server that enables the local IT department to change restricted access. This is $5000 per server for the software to be installed, created, and all the existing data input. The local IT department would be trained by the security company and would be responsible for entering all future personnel, deleting personnel who are separating or no longer need access, and maintaining the database at no additional monthly cost. Online security monitoring is a one-year contract and can be re-evaluated and renewed at the end of the year.

Expecting operating costs to increase at the turnover of the fiscal year (which may be different from the calendar year), staff salary and monthly expenses were added to a facility charge increase. Based on these projections, there will be a steady increase for future record storage and maintenance. However, there should also be a decrease in maintenance of paper files and other media formats that will be eliminated by the conversion to digital storage.

The total estimated budget for RIM program implementation is $503,052.

The RIM department recommends the remaining funds not used in the budget, minus a small cushion, be transferred to the University Archives department. This department will receive a

large quantity of files that each department believes may have historical value from the basements of all departments on campus and will likely need to hire temporary staff. Without knowing their budget or work load, the RIM department cannot estimate the cost.

Salaries and Wages *	Full Time Employee	Salary	Fringe Benefit Rate	Increase Per Year	No. of Employees	Totals
Records Coordinator Raise	0.05	$52,500	40.47%	$ 1,062	10	$ 10,623
					Total Salaries	$ 10,623
New Monthly Departmental Expenses		Cost	Depts		Months	
Monthly RIMPACT meetings catering		$50	10		12	$ 6,000
Email Archive Storage		10	10		12	$ 1,200
Backup Server Maintenance		15000	1		11	$ 165,000
					Total Departmental	$ 172,200
Equipment		Cost	Quantity	Monthly Increase		
Epson Document Scanner DS-1630 Duplex Flatbed		275	11			$ 3,025
Dell Storage NX 430 Hard Drive Server		2870	10			$ 28,700
					Total Equipment	$ 31,725
Services						
Online Security		1500	10		12	$ 180,000
Restricted Access Setup		5000	10		1	$ 50,000
					Total Services	$ 230,000
Total Direct Costs						$ 444,548
Facilities and Administrative Costs (32%)						$ 58,503
TOTAL YEAR 1						$ 503,052
*assuming annual salary increases of 2.5%						
**excludes equipment and graduate student fee remissions						

Strategic Issues, Goals, and Objectives

After implementing the RIM plan, here are the outcomes to the initial concerns.

1. Archives that were kept in boxes in the basement of 10 buildings will be digitized for compliance with the new system, transferred to University Archives, or disposed of following the new retention schedule.
2. There was no central repository for archives. The central repository is now an online database which has restricted access for each department or employee that needs to access it.
3. Numerous copies of official records were in various offices. The documents are available online and the official copy and office maintaining that copy has been named in the retention schedule. These documents should be able to be found and accessed by all personnel who need to see them.
4. The Financial Aid department was not given access to needed documents from Admissions and was forced to create and maintain their own complete files. These documents are now shared and accessible. Electronic files can be linked and if needed, digital non-record copies can be locally downloaded and disposed of for temporary means. No personal documents with sensitive information (like social security numbers) are accessible outside of the necessary offices because of the new electronic file disposition policies and network drive security services. Admissions retention policies were rewritten to include retention requirements for applicants who were not admitted.
5. Accounts Payable was receiving unnecessary paper forms because the policies for check requests were outdated. The policies were rewritten to include electronic submissions and the requests can now be scanned or sent electronically to the Accounts Payable office.
6. Policies on handling sensitive files were concerning Human Resources after a file was temporarily lost. These documents are now accessible through shared network drives that can be accessed from the main or loop campus with proper credentials. No one needs to physically transport a paper file across campus.
7. Public Relations brought attention to the unfair rule to process all documents on the main campus. The rule to process all paperwork on campus was rescinded with the new electronic policies.
8. There was no existing Emergency Plan for Disaster Recovery. The RIM office composed a separate E-Plan for files on campus as well as set up a secure off-site backup of all digital files and servers. In the event of an emergency or natural disaster, records will be saved.
9. The electronic records management policy regarding emails needed revision. The new policy states that emails will be saved based on content, rather than creation date. Archives were created and monthly storage space was budgeted. The IT department who created the old email policy should have consulted the RIM department and the Office of

Legal Counsel to see if that policy was handling records properly before being implemented.

10. The volume drives did not have a policy for retention, deletion, or department management. Each department has a dedicated server for their files now. If any user within that department comes close to their allotment, based on the digital storage management tools purchased, the IT department will be alerted that a user is nearing their limit and can forward that email to the head of the department or address the user directly. In the new policy, the fiscal burden of paying for more storage comes from the RIM department and the department of the file's origin instead of the IT department. The RIM plan gave the IT department more dedicated storage space for each department and a Records Coordinator within each department to enforce compliance. These two actions alleviated pressure from the IT department using their own resources and budget to balance the use of the old dedicated online storage. If necessary, the RIM department has money in the budget that could go towards an additional IT staff, but with each department's anticipated compliance and a University-wide rollout of new policies, the RIM department anticipates more work will be done cleaning up files by the individual departments rather than at the IT hub.

11. The University Archives department was not receiving files of historical value from other departments on campus. With the new RIM plan, compliance with retention deadlines has forced offices to remove items that should have been previously sent to the archives and compliance policies ensure that the transfers should occur at regular intervals.

12. There was no Records and Retention Schedule in place. After reviewing legal retention requirements and comparing RPU to other similar universities, the RIM department has created a retention schedule and policy wording that allows it to be expanded or modified for future document needs. With the support of the Board of Trustees and the President, the RIM department stressed the importance of cooperation in this program and the campus-wide impact of the RIM plan to the legal team at the Office of General Counsel. The Office of General Counsel has complied with all requests from the RIM team.

Success Measures

The initial success of the RIM plan can be seen in the decrease in paper files being stored in campus basements. Employees will have easier access to files using a central repository that is organized by which department/building is the keeper of the official copy of the record. Defining what non-records exist can help employees to keep their clutter down, both physical and digital. Records Coordinators were put into place as was training from the Records and Information Management department so that all employees know how to properly dispose of files, scan things in, and follow the retention schedule. An implementation of new forms (e.g. transfer, disposition) has given departments easy things to audit while checking for compliance with policies. Digital access has also made file access and storage easier for those on and off campus.

While the initial successes of the RIM plan are apparent, the program will only succeed in the long-term with constant evaluation and revision. Through monthly enforcement of the RIM program and ideas, employees will be reminded of how good records and information management can serve as a benefit to their work environment. The installment of Records Coordinators will bring a new type of feedback to the RIM department, which is the reporting of the employees to their direct supervisors in a reasonable time frame. Issues can be addressed promptly through a new chain of command.

Overall, developing a policy for records and information management began as a want from the President of River Park University to be on par with similar institutions, but transformed into a necessary revision to the lifestyle of the campus and its business culture. Through the RIM plan's inception to completion, RPU embraces the ideas that universities always strive for in their mission statements: knowledge and change.