

How to Complete the Records Inventory

The first step in participating in the Records Management Initiative is to identify the University records you possess. We understand that surveying your records can be overwhelming. To assist you with the process, fill out the “Records Inventory” spreadsheet.

Each question below assists with completing the corresponding column within the spreadsheet.

A. Type of Record

What types of records does your office/department maintain? Think about the different tasks you perform and what records are created as a result. Answers will vary by office. Some common examples include:

- Pro-Card log, statement and supporting documents
- Employee Search Records
- Academic Advising Files
- Scholarship Applications and Awards
- Event details and arrangements
- Special Payroll documents such as payroll authorizations, dual employment requests, offer letters
- Student Organization Meeting Minutes

B. Paper or Electronic

Are these records maintained in paper or electronic form or both?

C. Format/Medium

Optional: What format/medium are these records maintained in (e.g. a spreadsheet, form)?

D. Where Maintained

Where are these maintained? For example, are the records located in a storage room, a private office, a shared space?

E. Sensitive Information

Does the data contain sensitive or personally identifiable information (PII), such as social security numbers, account numbers and protected student information?

F. Security Measures

What security measures are in place with regard to the records/data (how are the records being stored and protected from unauthorized access)?

G. Data Owner/Record Custodian

For these records, are you/your office/department considered the “data owner or records custodian?” The records custodian is the individual or the department/office that is responsible for maintaining the official record that documents an action or activity. Usually, it is the individual or department that takes final action, such as making the final approval, authorization, decision or communication.

H. Official Record Copy

Are these records considered to be the “official record copy”?

If you or your department is the data owner or the records custodian, the answer is yes.

I. Record Retention

What is the minimum retention requirement for these records? The record retention schedules are available at <http://records.compliance.uconn.edu/record-retention-schedules/>. Please note you are not required to fulfill the minimum retention requirements if you do not possess the official record copy. In these circumstances, so long as the records are free from litigation holds, audits, or investigations, you may destroy the records when no longer administratively useful.

For further assistance, please contact Laurie Neal at (860) 486-4805 or laurie.neal@uconn.edu.