**Records Management Procedures for Supervisors**

**Exiting Employees**

* Review all paper and electronic records that the employee manages, especially the electronic records located in the employee’s personal email and computer drives.
* Determine which records should be kept or destroyed by applying the State University Model Records Retention Schedule for these records. <http://www.kdla.ky.gov/recmanagement/schedules/kyuniversitymodel.pdf>
* Transfer all electronic records stored in the employee’s personal email and computer drives requiring further retention, both permanent and temporary, to a separate accessible department location.
* Document any university records destruction, paper or electronic, by completing, signing and filing a Records Destruction Certificate with the University Archives.
* File Separation PAR’s as quickly as possible with Human Resources to trigger the employee’s removal from the NKU network. Supervisors should call Legal Affairs or Human Resources immediately if there is an urgent concern regarding an exiting employee’s access to the NKU network. Legal Affairs or Human Resources may then contact IT to determine what action is needed to protect NKU resources. Supervisors should document the time and date of the call, and the name of the Legal Affairs/Human Resources employee contacted.

Information Technology established a specific NKU Email and Account Termination Policy on September 1, 2009, view details at <http://it.nku.edu/itsecurity/docs/emailterminationpolicy.pdf>.

**Issues - Exiting Employees**

1. Use of accumulated vacation/annual leave accelerates the employee’s last actual working day. Keep this is mind when scheduling an exiting employee’s records review.

2. Timely Separation PAR submission. Once HR receives the PAR and enters it into the SAP system, the employee’s network access is immediately removed. Access is blocked on either their termination date or the date HR receives the PAR, whichever is later. Email access is maintained through Webmail for one week after the termination or resignation date.\* A late PAR submission to HR increases the university’s security risk by allowing former employees continued access to university records through both the NKU network and their personal email account.

 \*Retiring faculty and staff maintain email account privileges through Webmail indefinitely.

3. If a personal email account receives critical university communications, it should be automatically forwarded to another department employee’s email account until the exiting employee’s account is deactivated. This will help guard against any missed university communication.

4. Retiring employees may keep their existing email accounts and, as a result, university mail may need to be redirected by the former employee. University business may be affected.

5. Terms of separation could affect the level of risk to university records and computer systems.

Involuntary vs. Anticipated Termination

*Higher Risk*  *Lower Risk*

 Retirement/

Involuntary or Reduction-in-Force/ Voluntary

Immediate Termination Reorganization Termination

 Immediate to 2 weeks Up to 30 days

* In the case of an immediate termination, before the employee departs the supervisor should request and verify the username and password for the employee’s personal email and computer drive.
* Change the password immediately to protect access to the university’s records and review records as quickly as possible after the employee’s departure.
* Immediately change passwords for any shared department drives.

RecMgt\_ExitingEmpProc\_Supervisors.docx

1st ver: 3feb09, V. Cooper Last rev: 24jan11, V. Cooper

Approved by APAG 4 Jan 2011 rev approved by Legal & HR per telcon w/Cathy Dewberry March 6, 2012