

**SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
RECORDS MANAGEMENT MANUAL**

INTRODUCTION

A Records Management Program has as its chief function the systematic control of the creation, maintenance, use, and proper disposition of **record series**, *regardless of physical form or characteristics*. A record series is the title of a group of related records which are used and filed as a unit and which will be evaluated as a unit for disposition purposes.

“Record” or “records” as defined by the Illinois State Records Act, means all books, papers, maps, photographs, or other official documentary materials, regardless of physical form or characteristics, made, produced, executed or received by any agency in the State pursuant of state law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its successor as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the State or the State Government, or because of the informational data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and extra copies of publications and of reproduced documents are not included within the definition of records as used in this Act.

This manual is a guide for those carrying out the University Records Management Program. It establishes directions, defines specific responsibilities, and outlines requirements for proper operation and maintenance of the program. In general, one person is designated to be the “records coordinator” within each University department. The records coordinator manages the department’s records based on the University retention/disposition schedules and this manual. If you have a question about records, please contact your records coordinator who may contact the University Records Management Officer or the University Archivist.

This Manual and the SIUE Records Management website (www.siu.edu/RECORDS) are designed to assist you in the management of your unit’s records. The website focuses on Records Management’s staff, uses and benefits of its services and useful links such as the State and Local Government Records Management Programs and SIU Board Policies.

The current University Records Management Officer is Gary Dunn. He is located in the Records Management Department in the Supporting Services Building. His phone number is 650-3982 and his e-mail is gdunn@siue.edu.

The current University Archivist is Steve Kerber. He is located in the Louisa H. Bowen University Archives and Special Collections in the Lovejoy Library. His phone number is 650-2665 and his e-mail is skerber@siue.edu.

Revisions will be made to the Manual as circumstances dictate.

BENEFITS OF A RECORDS MANAGEMENT PROGRAM

Records management has well-developed concepts and methods that address critical aspects of information management, such as:

- Determining how long recorded information must be kept
- Complying with record keeping laws and regulations
- Organizing recorded information for retrieval when needed
- Storing inactive records in an efficient and economical manner
- Protecting records that are essential to mission-critical business operations

A systematic records management program adds value to business operations by reducing the cost of recordkeeping as follows:

- Ensuring compliance with legal and regulatory recordkeeping requirements, thereby avoiding costly fines or other penalties
- Reducing risks in civil litigation, government investigations, and the legal discovery process
- Reducing labor requirements for the creation, organization, retrieval, and dissemination of recorded information
- Minimizing storage requirements (space, equipment, and supplies) for a given quantity of records
- Reducing the time and effort required to reconstruct vital information in the event of disaster, theft, or other losses

AUTHORIZATION

The Illinois State Records Act

(<http://www.ilga.gov/legislation/ilcs/ilcs3.asp?ActID=86&ChapAct=526 3BILCS26 p3B1602F&ChapterID=2&ChapterName=GENERAL+PROVISIONS&ActName=State+Records+Act2E>) declares government records are a form of property whose ownership lies with the citizens and with the State of Illinois and that those records may not be disposed of without compliance to the regulations in the Act. The records of state colleges and universities are specifically named as being subject to the provisions of the State Records Act.

Southern Illinois University Board of Trustees policy, (<http://www.siu.edu/bot/index.htm>, Financial and Administrative Affairs, Policy F), adopted June 12, 1980, requires Southern Illinois University Edwardsville to maintain a records management program which will provide for the maintenance of records in an efficient and orderly manner and in compliance with all state and federal regulations.

Accordingly, the University Records Management Officer is designated and authorized by the Chancellor to implement, maintain, and evaluate the University Records Management program. All organizational components of the University and all University employees are required to participate in the records management program, to recognize the authority and purpose behind the program, and to cooperate with the University Records Management Officer and the University Archivist in the successful implementation of the program. Units may retain record series for longer than the minimum time spans recommended in the record retention/disposition schedules by applying to and obtaining authorization from the University Records Management Officer. However, following consultation with the Director of Administrative Services, the University Records Management Officer may require the retirement and transfer of inactive unit records whenever the continuing retention of such inactive records in the unit of origin conflicts with efficient institutional records management policy.

RESPONSIBILITY

Paper format and other non-digital records remain the responsibility of and in the custody of the administrative head of the originating university department or office only so long as they are “active” records that are frequently consulted—normally defined as a period of five years or less. Inactive paper format and other non-digital inactive records will be transferred to the responsibility and custody of the University Records Management Officer or University Archivist. The records coordinator is responsible for the filing arrangement within the storage boxes to be transferred. Inactive University records should *never* be placed in closets or store rooms because such action interferes with institutional control of those records, prompts the purchase of unneeded storage cabinets, and wastes physical space.

Active records series must be filed or electronically linked (see glossary) in such a manner as to facilitate the transfer of responsibility and custody. All University departments are expected to develop and maintain filing or electronic linking systems that will assure prompt retrieval of active records and will facilitate the transfer of inactive records to the responsibility and custody of the University Records Management Officer.

Digital records remain the responsibility of and in the custody of the administrative head of the originating University department only so long as they are “active” records that are frequently consulted—normally defined as a period of five years or less. Inactive digital records should be migrated to an approved storage medium (tape, disk, film) for the remainder of their retention period. Storage medium questions should be directed to the University Records Management Officer or University Archivist.

It is important to keep in mind University records are not the property of and do not belong to the university employee who created or received them, or to the university department where they were created or received. University records are the property of and belong to the citizens of the State of Illinois.

Under University policy, faculty may retain private ownership of research and of teaching innovations under certain circumstances and the university records management policy does not apply in these circumstances. For clarification, please consult the university policies and procedures or the Office of Legal Counsel.

REFORMATTING OF UNIVERSITY RECORDS

Reformatting (changing from one storage medium to another, such as paper to digital) exhausts University resources in time and funds and can affect the records' (series) lifespan and ability to retrieve such records. Computer hardware and software standards are critical in the reformation process. The University Records Management Officer will consult with the requesting department, Office of Information Technology, Office of Legal Counsel and/or the auditors. Thus, reformatting of University records by departments is not encouraged and may not be planned without permission from the University Records Management Officer. Inactive university records that require frequent reformatting for appropriate storage should be reformatted as micro text (records migrated to microfilm) rather than to digital media. Reformatting questions should be directed to the University Records Management Officer.

RECORD DESTRUCTION/DISPOSITION

University records, *regardless of physical form or characteristics of the records*, may only be destroyed or disposed with the authorization of the University Records Management Officer in compliance with the State Records Act, Board Policy, University Records Management Manual, and the State Records Retention and Disposal Schedule prepared for Southern Illinois University by the Illinois State Archives.

Original and duplicate records, listed in the State Records Retention and Disposal Schedule may be disposed of providing the retention period is complete and no litigation is pending or anticipated. Records not listed in either source should be reported to the University Records Management Officer for inventory and evaluation. Records series disposition questions should be directed to the University Records Management Officer.

RECORDS RETENTION AND DISPOSITION SCHEDULE

This manual provides for the creation of records retention schedules for each department which establish a timeline for the lifecycle of each category or series of university records, based upon the operating, administrative, fiscal, legal, and historical value of the information contained in each category. Specialists from the Illinois State Archives evaluate each category of university records, determine the length of time that category of records will continue to retain informational value, and schedule or assign a lifespan to each category of records.

The University Records Management Officer uses the official state records retention and disposal schedules to decide when University records no longer retain informational value and may be disposed of in an appropriate manner. Defining the lifespan of records and scheduling the systematic destruction of valueless records will save the university in the purchasing of unneeded storage (cabinets, servers, buildings) while insuring that truly useful information remains accessible.

Each University department should have a records retention and disposition schedule and SIUE Records Management Manual for its records. If you do not have a schedule, contact the University Records Management Officer.

ELECTRONIC MAIL

Electronic mail (“E-mail”) is a form of digital records and is becoming increasingly important as a means of conducting University business. The same records retention standards for paper records also apply to e-mail. Each individual user of e-mail is responsible for maintenance of e-mail records. The University’s Office of Information Technology Services (I.T.S.) does not centrally store and maintain e-mail records. Therefore, each user needs to file or electronically link their e-mail records so that they are in compliance with the State Records Act and for retrieval if necessary. While this task may seem overwhelming, it is important that all University users treat e-mail the same as paper records. The State Records Act was specifically amended to include digital information like e-mail. You may contact the Records Management Department at extension 3981 for assistance in setting up and maintaining your e-mail.

Only e-mail which constitutes a transaction of University business must be stored and managed. This includes, for example, e-mail messages dealing with specific terms of a contract as the contract is being negotiated; employment acceptance or resignation messages and messages of historical significance. E-mail, which if it were a paper record, need not be saved and maintained, should be deleted from files as soon as the message has fulfilled its purpose. E-mail and electronic attachments that you determine must be saved may be saved to electronic files or printed and retained in paper format.

E-mail technology is provided to University employees for conducting University business and is not considered private and confidential. E-mail may be made public pursuant to state law or litigation. For example, e-mail is subject to pretrial discovery in a court of law, state, and federal open records laws, and the Illinois Freedom of Information Act. In its present form, e-mail is generally not secure and is vulnerable to unauthorized access and modification by computer hacking. I.T.S. has a Responsible Use Policy which explains the use of computer networks, personal computers, and other related resources made available to employees. You may access this policy at <http://www.siu.edu/HELPDESK/responsibleuse/>.

Employees who are leaving the University must transfer their records (paper, electronic, and e-mail) excluding private and personal, to the department's records coordinator, in order to:

- 1) Maintain continuity in business operations
- 2) Assist the employee's successor in performing the duties required by the University
- 3) Ensure that retention and disposal requirements will be completed

CONFIDENTIALITY

Some university records are confidential in nature by law and policy. Confidential records include statements, papers, or information written, now held or hereafter received regarding the following:

- student academic records
- student and employee health or medical records
- employee personnel, evaluation, and discipline records
- applicant records
- grievance records (faculty, students, staff)
- financial aid to individual students
- accounts receivable (faculty, students, staff)
- police records on individuals
- counseling records

Confidential records are not exempt from the University Records Management program. Inactive confidential records in non-digital formats approved for destruction by the University Records Management Officer must be physically destroyed (shredded) in a manner that makes reconstruction of the records impossible. Inactive confidential records in digital formats approved for destruction by the University Records Management Officer must be disposed of (deleted) in a manner that makes the reconstruction of these records impossible.

Confidential records, or any part of such records, are not to be disclosed or provided in any manner to any person, organization, agency, or other party without proper authorization. Proper authorization to disclose such records may be made by direction of the Chancellor or the functional area head responsible for the records. They also may be accessed by qualified University personnel whose assigned duties require use of them. These guidelines are subject to applicable state and federal statutes and regulations which take precedence over the provisions of the guidelines in any case in which policy is inconsistent with them.

UNIVERSITY ARCHIVES

The Louisa H. Bowen University Archives and Special Collections, a unit of Library and Information Services, serves as the repository for all University records and memorabilia of enduring or historical value and for the donated personal papers and manuscripts of faculty members. Most University records do not have enduring or historical value and therefore are not kept by University Archives. However, the determination of which documents have historical or enduring value must be made by the University Archivist. The University Archivist serves as an advisor and resource person to the University Records Management Officer with respect to university records of historical or enduring value. It is unnecessary for departments to maintain substantial collections of University records and memorabilia in competition with or in duplication of the function served by the University Archives.

RECORD COORDINATOR'S CHECKLIST

Each record coordinator should obtain the following items to assist him/her with their record management responsibilities and follow the instructions set forth therein:

- 1) SIUE Records Management Manual.
- 2) Phone numbers or e-mail addresses for the University Records Management Officer, University Archivist, and Office of Legal Counsel for questions or comments.

- 3) Ready access to the Records Management website (www.siue.edu/RECORDS). You will be notified by e-mail from the University Records Management Officer of any changes to the Records Management program.
- 4) A “Records Transfer Form” must be completed by the transferring department to send records to Records Management. A “Records Transfer Form” will be sent to the department upon request. Other forms needed to transfer records will also be sent at that time.

CAPSULE SUMMARY OF RECORDS POLICIES

Records management is a field of management responsible for the systematic control of the creation, maintenance, use, and proper disposition of records, *regardless of physical form or characteristics*.

No University records may be destroyed or otherwise disposed of without the authorization of the University Records Management Officer. Records approved for destruction that contain confidential or sensitive information must be destroyed (shredded or deleted) in a manner that makes reconstruction of the records impossible.

Inactive records (those referred to an average of once per academic term or less) are to be transferred to the University Records Management Officer. University records are not to be stored in basements, attics, stairwells, furnace rooms, supply closets, etc.

Records evaluated by the University Archivist to have historical value are to be transferred to the University Archives at the end of their reference value to the unit.

All University departments are expected to develop and maintain filing systems that will assure prompt retrieval of records and which will permit the department to transfer or dispose of records in an orderly fashion.

Departments are to consult with the University Records Management Officer on all proposed *microfilming or scanning* and are to utilize the services of the Records Management Department unless otherwise approved by the University Records Management Officer.

GLOSSARY

Administrative record value – records no longer needed for current operations, but they still may be valuable for administrative reasons. Records may be used to summarize operations or as a basis for a speech or written report. Administrative value is often difficult to judge, since management includes a wide variety of individuals with differing needs. In general, administrative values are in the range of one to two years.

Archival record value – a record valued as historical or enduring which is permanently preserved.

Digital records – also referred to as electronic records such as e-mail, databases and spreadsheets.

Electronic linking system – an electronic filing system such as indexing a scanned record into a database in the University-wide document imaging system (ImageNow software system).

Fiscal record value – need to preserve records for a certain period of time as an audit trail to document financial transactions.

Intellectual preservation – ensuring the integrity and authenticity of the information as originally recorded.

Legal record value – refers to both external obligations to obey legal requirements for maintaining records and also internal need to document the legal rights of the University.

Medium preservation – preserving the physical media on which the electronic records reside.

Non-record material means:

- a) Material not filed as evidence of administrative activity or for the informational content thereof.
- b) Extra copies of documents preserved only for convenience of reference.
- c) Stocks of printed or reproduced documents kept for supply purposes, where file copies have been retained for record purposes.
- d) Books, periodicals, newspapers, posters, and other library and museum materials made or acquired and preserved solely for reference or exhibition purposes.
- e) Private materials neither made nor received by a state agency pursuant to state law or in connection with the transaction of public business such as telephone call slips, routing slips, transmittal letters, preliminary letter drafts, memoranda, work sheets, and informal notes which do not represent significant steps in the preparation of the record document.

- f) Perforated, magnetized and photography coded cards and tapes, provided that documents containing the same information have been filed in the same office and such cards and tapes were not prepared as evidence of administrative decisions or transactions subject to audit.

Whenever doubt arises whether certain records are non-record materials, it should be presumed that they are records. Non-record materials may be destroyed at any time by the agency in possession of such materials without the prior approval of the University Records Management Officer.

Office of record – office that generates records and has the sole responsibility to maintain those records.

Operating record value – refers to the value of the record for the current work of the University and is very short-term, such as the necessity to document the receipt and payment of a vendor's invoice.

Record disposition/destruction – disposing or destroying records when the individual retention period is complete, all audits have been completed and no litigation is pending or anticipated, and disposition is approved by the University Records Management Officer.

Record or document lifespan – the creation or receipt of a record or document through destruction or permanent preservation. Records are subject to changing requirements for timely retrieval, convenient distribution, and reliable, cost-effective storage.

Record retention – detainment period of a record based on legal requirements, best business practices and its value such as fiscal, archival, legal, operating, or administrative.

Record series – is the title of a group of related records which are used and filed as a unit and which will be evaluated as a unit for disposition purposes.

Records coordinator – link between the department and the University Records Management Officer whose responsibilities include:

- Notify the University Records Management Officer of changes to records generated by the department.
- Review department records annually to purge duplicate records with no administrative value.
- Consult with the University Records Management Officer for the transfer of records to Records Management department.

- Prepare documents and schedule records series to be processed and/or disposition by Records Management department.
- Consult with the University Records Management Officer on the creation and/or retirement of records series.

Reformatting records – changing a record from one type of media (paper, electronic, tape) to another type of media. For example, scanning paper documents into an electronic database.

State records retention and disposition schedule – the records schedule of maintenance and destruction prepared by the University and approved by the Illinois Secretary of State.

Technology preservation – updating technologies from old to new as they become available.

University department – refers to any organizational component of the University.

University record – recorded information, regardless of physical form or characteristics, maintained by the University in pursuance of legal obligations or in the transaction of business. Records are significant informational assets generated by the University.

Vital record – record series essential for the continuous operation of the University.