INTRODUCTION

A Records Management program’s chief function is the systematic control of the creation, maintenance, use and proper disposition of records, 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 (5 ILCS 160):

(5 ILCS 160/2) (from Ch. 116, par. 43.5)
Sec. 2. For the purposes of this Act:
"Secretary" means Secretary of State.
"Record" or "records" means all books, papers, born-digital electronic material, digitized electronic material, electronic material with a combination of digitized and born-digital material, maps, photographs, databases, or other official documentary materials, regardless of physical form or characteristics, made, produced, executed, or received by any agency in the State in pursuance 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 of 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 stocks of publications and of blank forms are not included within the definition of records as used in this Act. Reports of impaired physicians under Section 16.04 of the Medical Practice Act or Section 23 of the Medical Practice Act of 1987 are not included within the definition of records as used in this Act.
"Born-digital electronic material" means electronic material created in digital form rather than converted from print or analog form to digital form.
"Digitized electronic material" means electronic material converted from print or analog form to digital form.
"Agency" means all parts, boards, and commissions of the executive branch of the State government, including, but not limited to, State colleges and universities and their governing boards and all departments established by the Civil Administrative Code of Illinois.
"Public Officer" or "public officers" means all officers of the executive branch of the State government, all officers created by the Civil Administrative Code of Illinois, and all other officers and heads, presidents, or chairmen of boards, commissions, and agencies of the State government.
"Commission" means the State Records Commission.
"Archivist" means the Secretary of State.
(Source: P.A. 99-147, eff. 1-1-16; 100-201, eff. 8-18-17.)
This manual is a guide for those implementing the University Records Management Program. It establishes directions, defines specific responsibilities, and outlines requirements for proper operation and maintenance of the program. One or more staff must be designated to be the “records coordinator(s)” within each department by the Department Head. 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 department records coordinator who may contact the University Records Management Officer (X3981) or the University Archivist (X2665). Manual revisions are made as circumstances dictate.

This manual and the SIUE Records Management website (www.siue.edu/records) assist in the management of your department’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 Kurt Schoenborn. He is located in the Records Management Department in the Supporting Services Building. His phone number is 650-3981 and his email address is kschoen@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 email address is skerber@siue.edu.

**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 minimally retained
- 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 record keeping as follows:

- Ensuring compliance with legal and regulatory record keeping 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&ChapterID=2](http://www.ilga.gov/legislation/ilcs/ilcs3.asp?ActID=86&ChapterID=2)) declares government records are a form of property whose ownership lies with the citizens and with the State of Illinois and that those records are to be created, maintained and administered in support of the rights of those citizens and the operation of the State and that those records are, with very few exceptions, to be available for the use, benefit, and information of the citizens and that those records may not be disposed of without compliance to the regulations in this 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, [https://siusystem.edu/board-of-trustees/legislation/board-legislation-policies.shtml#5F](https://siusystem.edu/board-of-trustees/legislation/board-legislation-policies.shtml#5F) 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 implementation of the program. Departments may maintain records for longer than the minimum requirements recommended in the retention/disposition schedules by obtaining authorization from the University Records Management Officer. However, following consultation with the Administrative Services Director, the University Records Management Officer may require the retirement and transfer of inactive departmental records whenever the continuing retention of such inactive records in the department conflicts with efficient institutional records management policy.
RESPONSIBILITY

Most University employees create records in the course of their duties. In order to facilitate effective university operations through efficient records management, employees must maintain complete and accurate records of activities conducted in the course of their work. Employees need to file their records in accordance with office file plans, or in the absence of filing plans, in a manner that provides for practical access to the records, whether the records are digital or paper. Electronic records should be filed and stored in accordance with SIUE policies and retention schedules.

University employees need to be aware of the agency wide/common records and departmental records retention schedule relating to the records they create, making sure they comply with those schedules. The department heads are responsible to make staff aware of the records management policies and records schedules.

Department heads are also responsible to regularly review their records retention schedules and ensure their office(s) are complying with them. Department heads should report any new records created to the University Records Manager.

Paper 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 accessed—normally defined as a period of five years or less. Inactive paper records should be sent to Records Management or University Archives. The records coordinators are 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 digitally linked (see glossary) in such a manner as to facilitate prompt retrieval. All University departments are expected to develop and maintain filing or digital linking systems that will assure prompt record retrieval.

Digital records remain the responsibility of and in the custody of the administrative head of the originating University department. Information Technology Services will not delete your records to comply with the State Records Act. The department records coordinator or other designee is responsible for digital records deletion. The Secretary of State released a memorandum on disposing of non-permanent paper records after scanning which is displayed at the end of this manual. Storage questions should be directed to the University Records Management Officer at X3981 or University Archivist at X2665.
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 State of Illinois.**

Inactive or inappropriate student/employee websites on ITS servers will be deleted. Any websites with “historical context” must be maintained. Historical context would be a website important to the university/state and/or maintained for possible future research purposes. Ex: A professor or student developed website with research/documents/pictures/history of the Mississippi River Festival or the complete history of the SIUE Chancellors should be considered saving.

Under University policy, faculty may retain private ownership of research and teaching innovations under certain circumstances. University records management policy does not apply in these circumstances. For clarification, please consult University policies and procedures or the Office of the General Counsel at 650-2514.

**FILING SYSTEMS**

Filing is the arranging of recorded information according to a simple, logical system, and storing the information in a filing cabinet, desk drawer, hard drive, server or database. A good system permits retrieving the information for use, and is necessary to efficiently support the work of employees that require use of records maintained in office files.

Filing is a learned skill. Personnel responsible for a unit’s filed records must understand the work of the office and the University, and know the type of filing arrangement most suitable.

Important criteria of a well-designed filing system are:

- Placement or retrieval of information with a minimum of time or effort. All office personnel should be able to retrieve needed material.

- Assure the integrity and continuity of record-keeping across changes in office personnel.

- Allow easy identification of inactive records.

- Make filing less difficult and tedious.

There are many kinds of filing systems with many names, but there are only three basic ways to arrange records: alphabetical order, numerical (chronological) sequence, and subject.
A University Subject Filing System

Subject filing provides substantial advantages for effective handling of records. Subject files group records according to subject categories. It is the only system compatible with the complex types of records found in campus offices. Numerical principles can be used within subject headings for specific types of records. Subject files use alphabetic principles in the arrangement of files.

Establishing a Unit File System

Following is a suggested system which can be adapted for various units.

Every good filing system begins with an index. The index must be maintained at all times. It is a list of all file categories. In looking for a specific file it is less time consuming to check the pages of an index than to check each folder in several file drawers.

Records maintained in most University units can be divided into six broad series, then into categories according to subject. The record series pertain to 1) the office in which the files are being maintained, 2) the school, division, or department of which the unit is a part, 3) University-wide (the rest of the University), 4) other academic and/or public service institutions (universities and colleges, associations, professional organizations, 5) government agencies, business and industry, and 6) students.

Each of the six series can be subdivided into primary subject categories. Primary subject categories can be subdivided into secondary categories, and secondary categories can be subdivided into tertiary categories. Even tertiary categories can be subdivided to produce more detailed refinements. The subdivisions would vary between units depending on the function and needs of the unit.

Following is a sample index of how the six series can be structured (modeled for an academic unit):

UNIT/DEPARTMENT RECORDS

Course and Curriculum Records.
  Courses (description, outlines, syllabus)
  Courses Proposed
  Curriculum Evaluation
Departmental Committees
Equipment and Supplies
Financial and Budget Records
Purchases
Salaries
Travel and Expense
Personnel
  Faculty
  Staff
  Students (employees)
Projects, Programs, and Proposals
  (includes special or on-going projects, or programs sponsored by the department—
   Do not confuse with School or University)
Space and Room Scheduling

SCHOOL OR DIVISION
  (e.g. if this was the index for the Art Department, this series would be called FINE ARTS
   AND COMMUNICATIONS, SCHOOL OF)
  Administration
  Budget
  Committees, School
  Course and Curriculum (on school level)
  Departments (all other departments in the school)
  Policies and Procedures

UNIVERSITY-WIDE
  Administration
    (Sub-categories would be other administrative offices of the University not part
     of series #1 and #2)
  Admissions, Records and Registration
  Councils and Committees
    Faculty Senate
    Planning and Budget Council
    University Staff Senate
  Conferences and Conventions
  Finance and Accounting
    Budget (all University)
    (other categories could be offices or subjects relating to finance and
      accounting)
  Policies and Procedures
    (can be subdivided into as many subjects as you need—in alpha order)
  Other University Schools or Units (specific breakdowns)

INSTITUTIONS/ASSOCIATIONS
  Associations (includes professional organizations)
  Colleges and Universities
  Public Institutions (hospitals, libraries, museums, etc.)
Public and Private Schools (Secondary and Elementary)
Government, Business and Industry
(records relating to government agencies, federal, state, or local level)

STUDENT RECORDS

Graduate Students
Inactive Students
Undergraduate Students
(would include any other breakdowns pertaining to students)

Each unit should survey their records to determine the needed secondary and tertiary categories. Upon request, the University Records Manager will assist in determining these categories.

If a record could be properly filed in several categories, determine the category to file it in for the best retrieval recall, then make a cross-reference sheet (s) to be filed in the other category (ies). A record in the beginning may be appropriate for one category, but as it evolves (for example 4 or 5 or more letters and report on same subject) it may fit better under another category: refile it in the latter category and cross-reference in the first.

Basic Rules for Alpha Arrangement

Names of people:

1. Surname (1) given name (2) middle name (3)
   Brown
   Brown, A.
   Brown, Andrew
   Brown, Andrew J.
2. Treat hyphenated names as a single unit
   Brown, Andrew
   Brown-Smith, Jane
   Brownstone, James
3. Treat names with prefixes (e.g., “DeLive,” “LaChais,” “McBride,” “Van Dorn,” as a single unit.
4. File abbreviated names as full names, but file nicknames as written
   Wilson, Bill
   Wilson, William (not Wm)
5. Titles are disregarded in classifications unless used alone with given name only
   Brown, James (Dr.)
   Prince Charles
6. Terms such as Sr., Jr., 3rd, are alphabetized as units after surname and given Name.
Names of Organizations

1. Avoid abbreviation whenever possible
   AAUP file as American Association of University Professors
   NCATE file as North Central Association for Teacher Education
2. Company names are indexed as written, unless they include the full name of an individual, in which cases the surname precedes the first name.
   AAA Employment Agency
   ABC Nursery School
   (The) Great Western Railroad
   Mr. Chris Beauty Chalet
   Mr. Pete’s
   Smith, Albert, Furniture Company
   Smith Furniture Company
3. Organizations, such as hospitals, libraries, and hotels are alphabetized by the identifying name of the organization.
   Hotel Stratford is filed as Stratford, Hotel
4. Universities and Colleges
   Eastern Illinois University
   Illinois State University
   Illinois, University of
   Michigan, University of
   Missouri, University of
   Southern Illinois University Edwardsville

The suggestions listed, together with the examples, deal with problems likely to occur in filing the kinds of records created and maintained in University offices. Be consistent and standardize practices. Have an index and keep it up to date.

REFORMATTING OF UNIVERSITY RECORDS
Reformatting (changing from one storage medium to another, such as paper to digital or disk to external hard drive) exhausts University resources in time and funds and can affect the records series lifespan and the ability to retrieve such records in an efficient manner. Computer hardware and software standards are critical in the reformation process. The University Records Management Officer will consult with the requesting department, Information Technology Services (ITS), Office of the General Counsel, and/or the University Auditors. Thus, reformatting of University records by departments is not encouraged and may not be planned without the permission from the University Records Management Officer. Long term inactive University records that require frequent formatting 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 at 650-3981.

Electronic records are produced and kept in a wide variety of file formats, often dictated by the type of software used to create and access a record. Accessibility and user convenience are common factors that determine the use of one format over another. When managing electronic records that have retention requirements past their initial use, however, one must take into consideration the sustainability of the format used.

Sustainability in this context refers to continued accessibility over time. While no file format guarantee perpetual accessibility, certain formats have distinct advantages over others in this regard. These formats are referred to as “sustainable” formats. **Sustainable formats can be found here:**


**RECORDS 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 authorization to dispose State records by a signed disposal certificate by the Director of the Illinois State Archives.

Original and duplicate records, listed in the SIUE 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 the SIUE Records Retention and Disposal Schedules should be reported to the University Records Management Officer at 650-3981 for inventory and evaluation. Record series disposition questions should be directed to the University Records Management Officer.

Paper (hard copy) records containing sensitive information must be kept in a physically secured location such as a locked cabinet and/or office in accordance with its record retention schedule. Hard copies must be limited to the minimum number required or printed when there is a legitimate need. When printing, photocopying or faxing, ensure that only authorized personnel will be able to see the output. Output must not be left unattended on a printer/fax. Sensitive information should be transmitted to network-connected printing/scanning devices unless on a closed or securely encrypted network.

When sensitive information is not required on an ongoing basis, the information must be redacted with a black permanent marker or whiteout and photocopied. The copy retained
while the original is securely shredded. Paper records not required on an ongoing basis, must be shredded with a crosscut shredder.

**RECORDS RETENTION AND DISPOSITION SCHEDULES**

Records retention and disposition schedules for each University department establishes a timeline for the lifecycle of each category or series of records, based on the operating, administrative, fiscal, legal, and historical value of the information contained in each category. Illinois State Archives’ Field Specialists and the University Records Management Officer 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 (creation to disposal or archival) to each category of records. Defining the lifespan of records and scheduling the systematic destruction of valueless records will save the University in purchasing unneeded storage (cabinets, servers) while insuring that truly useful information remains accessible.

The University Records Management Officer refers to the SIUE Records Retention and Disposition Schedules to complete State Disposal Certificates. The certificates note record items eligible for disposal and signed by the Illinois State Archivist and University Records Management Officer. The certificates give record coordinators’ authorization to dispose department records.

Each University department should have access to its records retention and disposition schedule and this manual for reference in managing its records. If you do not have a records schedule for your department, contact the University Records Management Officer at X3981.

**ELECTRONIC MAIL (email), TEXTING and SOCIAL MEDIA**

Electronic mail (email) and texting are forms of digital communication and important methods of conducting University business. The same record retention requirements for paper apply to digital records. Forms of social media such as Twitter, Facebook, and Instagram are digital records also. Each individual user is responsible for managing digital records. The Office of Information Technology Services (ITS) does not centrally store and manage digital records. Therefore, each user needs to manage their digital records to be compliant with the State Records Act for retrieval purposes, if necessary. While this task may seem overwhelming, it is important that all University users manage digital records. The State Records Act was specifically amended to include digital information. You may contact ITS at 650-5500 for assistance in setting up and maintaining your email.
Only digital messages constituting a University business transaction must be stored and managed. This includes, for example, email messages dealing with specific terms of a contract during negotiations, employment acceptance or resignation messages, and messages of historical significance. Non-business email need not be saved and maintained, should be deleted as soon as the message has fulfilled its purpose. Digital records and attachments to them which are records, must be retained and managed for the length of its retention period.

Digital technology provided to University employees for conducting University business, is not considered private and confidential. Digital records may go public pursuant to state law or litigation. For example, digital records are subject to pre-trial discovery in a court of law, state and federal open records laws, and the Illinois Freedom of Information Act. In its present form, digital records are not always secure and is vulnerable to unauthorized access and modification by computer hackers. ITS has a Responsible Use Policy which explains the use of computer networks, desktop and laptop computers, and other related devices made available to employees. You may access this policy at http://www.siue.edu/policies/2d4.shtml.

Employees who are leaving the University must transfer their records (paper and digital) excluding private and personal, to the department’s records coordinator, in order to:

- Maintain continuity in business operations
- Assist the employee’s successor in performing the duties required by the University
- Ensure that retention and disposal requirements will be accomplished

Transitory Email and Document Examples

The following emails or documents are determined to have no administrative, legal, fiscal or archival requirements for their retention. They may be disposed of as soon as they have served their reference purpose. Please shred, recycle or delete as appropriate.

- **Document Errors**: Incorrect versions of documents, forms or reports that had to be regenerated in order to correct errors in typing, data entry, spelling, grammar, or format.

- **Duplicates**: Extra copies of correspondence, completed forms, bulletins, statistics, reports, hardcopy printouts from a database (including e-procurement purchase orders and reports), electronic files extracted from a master file or database, mailing lists, etc., used only for reference or informational distribution.
**Extracted Data**: Documents derived from a master file or database in the form of statistics, reports, hardcopy printouts, mailing lists, auto-generated notifications and reminders, etc. Includes emails. These records will be visible and accessible for their full retention period in the system of record and can be re-printed as needed.

- **Lists/Logs**: Lists/logs containing information tracked by a department from which superseded elements are determined as new data/information received, not covered by a more specific records series.

- **Miscellaneous Notices or Memoranda**: Memos and postings that do not relate to the functional responsibility of the department (i.e., announcements of meetings, reservations, confirmations, itineraries, acknowledgements, form-letter thank you notes, etc.).

- **Preliminary Drafts**

- **Published Reference Materials**: Printed materials received from other SIUE offices, vendors or other non-SIUE institutions, which require no action and not needed for documentary purposes. May include technical reports/studies, magazines, catalogs, periodicals, flyers, announcements, newsletters and other widely distributed printed materials received by an SIUE office.

- **Requests for Information**: Routine memos or forms used to request, or respond to requests for, information, forms, mailing lists, database printouts, publications, requests for computer printouts, etc. Retain until after the information been sent or received.

- **Routing Slips**: Memos used to direct the distribution of documents.

- **Stocks of Publications**: Supplies (multiple copies) of departmentally produced printed documents superseded, obsolete or otherwise valueless. May include program brochures, booklets, flyers, forms, catalogs, directories, manuals, posters and other informational materials produced by a department for wide distribution.

**NOTE**: One copy of all SIUE publications should be sent to Archives at Box 1063.
**Transmittal Memos:** Letters and FAX cover sheets accompany a document, report, form, etc., that do not add any substantive information to the transmitted material.

**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, staff, students)
- Financial aid to individual students
- Accounts receivable (faculty, staff, students)
- Police records on individuals
- Counseling disability records
- Social Security Numbers and Taxpayer ID
- Trade secrets or intellectual property such as research activities
- Birth Date
- Passwords
- Credit card numbers
- Citizen visa code

Confidential records are not exempt from the University Records Management Program. Confidential records must be physically destroyed (shredded) or deleted in a manner that makes reconstruction 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. The Chancellor or the functional area head responsible for the confidential records may provide proper authorization to disclose such records. Qualified University personnel whose assigned duties require use of confidential records also have access. These guidelines are subject to applicable state and federal statutes/regulations take precedence over the provisions of the guidelines in any case in which policy is inconsistent with them. Confidential paper records need to be in a stored in a locked cabinet, office or desk.
Report a confidential records breach immediately to your supervisor. A confidential records breach regarding University or third party data or information may result in disciplinary action including termination of employment and possible civil or criminal prosecution or penalties.

The Personal Information Protection Act (PIPA) specifically requires public universities, such as Southern Illinois University Edwardsville (SIUE), and other data collectors to notify affected individuals whenever a security breach of the data collector's system data occurs. PIPA is the enactment of House Bill 1633, which was signed into law in June, 2005, and went into effect on January 1, 2006. With PIPA, Illinois became only the second state in the country to respond to major security breach cases (e.g., ChoicePoint).

The PIPA creates several stipulations for notifying affected persons of a data breach. More information about security breaches can be found here:

http://www.siue.edu/policies/2d1.shtml

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, memorabilia of enduring or historical value and donated personal papers and manuscripts of faculty members. Most University records do not have enduring or historical value; therefore, they are not located at the University Archives. The University Archivist decides whether documents have historical or enduring value. 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.

DEPARTMENT HEAD AND RECORD COORDINATOR’S CHECKLIST

Record coordinators should have access to the following resources to assist in their record management responsibilities and follow the instructions set forth therein:

- Records Management website (www.siue.edu/records).
- Phone numbers or email addresses for the University Records Management Officer, University Archivist, and Office of the General Counsel for questions, comments, or concerns.
- Records Management Manual, records schedules, and State disposal certificates located on the website
CAPSULE SUMMARY OF RECORDS POLICIES

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

2. 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.

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

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

5. 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.

6. Departments are to consult the University Records Management Officer on all proposed scanning projects and to utilize the services of the Records Management Department unless otherwise approved by the University Records Management Officer.

7. Information Technology Services and Records Management provide and support the ImageNow system used by many departments to maintain, route, share, and safely retain documents. Additional file storage technologies including shared drives and Sharepoint document libraries can be made available to assist in these efforts. If your department is using any of these technologies as part of a formal records management program please contact ITS/Records Management. If you have any questions or would like to discuss, contact ITS/Records Management.

8. Supervisors of departing employees must complete the “Departing Employees Checklist” available on the Human Resources’ website. Departing supervisory or higher level employees’ files may contain confidential and high risk files. Departing employees’ files must be managed by the policies and procedures listed in this manual and the SIUE Records Retention Schedule.
GLOSSARY

Administrative record value – records no longer needed for current operations, but they still may be valuable for administrative reasons, i.e. records used to summarize operations in 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 and permanently preserved.

Digital records – also referred to as electronic records such as emails, databases, spreadsheets, texts, and word documents.

Digital linking system – an electronic filing system such as indexing (input the location) a record in a database in the University-wide document imaging system (ImageNow Document Imaging System).

Family Educational Rights & Privacy Act (FERPA) – a federal law that protects the privacy of student education records.

Fiscal record value – need to maintain and document financial transaction records for an audit trail.

Health Insurance Portability & Accountability Act (HIPAA) – protects all “individually identifiable health information” held or transmitted by a covered entity or its business associate, in any form or media, whether electronic, paper, or oral. “Individually identifiable health information” is information, including demographic data that relates to the 1) individual’s past, present or future physical or mental health or condition, 2) the provision of health care to the individual, 3) the past, present, or future payment for the provision of health care to the individual.

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 the internal need to document legal rights of the University.

Medium preservation – preserving the physical media on which the 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 retention purposes.

d) Books, periodicals, newspapers, posters, and other library and museum materials created or acquired and preserved solely for reference or exhibition purposes.

e) Private materials neither created 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.

Whenever doubt arises whether certain records are non-records materials, presume they are records. Non-record materials can be disposed at any time by the agency in possession of such materials without the approval of the University Records Management Officer.

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

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

Personally identifiable information (PII) - as used in United States Privacy Law and information security, is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context. The abbreviation PII is widely accepted in the U.S. context, but the phrase it abbreviates has four common variants based on personal/personally, and identifiable/identifying.

Record disposition/destruction – disposing or destroying records when the retention period is complete, all audits have been completed and no litigation is pending or anticipated, and disposition is noted on a State Disposal Certificate.

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

Record retention – how long a record is stored based on legal requirements, best practices, and its value such as fiscal, archival, legal, operating, or administrative.

Record series – the title of a group of related records used and filed as a unit and evaluated as a unit for disposition purposes.
Records coordinator – departmental records representative who works with the University Records Management Officer whose responsibilities include:

- Notify the University Records Management Officer of record/process changes 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 inactive records to Records Management.
- Prepare documents and schedule records series to be scanned, stored and/or disposed 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 onto an electronic record storage device (server, hard drive, CD).

State Records Commission – a committee which consists of representatives from the Secretary of State’s, Attorney General’s, Treasurer’s, Comptroller’s, Department of Central Management Services’ and other statewide offices who approve the University’s records retention and disposition schedule.

State records retention and disposition schedule – a list of University records to be maintained and later destroyed or archived which is prepared by the University and approved by the State Records Commission. See State Records Commission.

Technology preservation – updating storage technologies from old to new as they become available. Departments may have to update storage technologies to maintain records for length of retention recommendations. **When media is outdated (floppy disks, VHS tapes, etc.), the department is responsible to migrate records from outdated media to newer storage technologies.**

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.
March 5, 2015

MEMORANDUM: Disposing of non-permanent paper records after scanning.

The administrative rule has been changed for the disposal of the paper copy of non-permanent records after scanning (ICAR 4100.70 b):

"In submitting schedules of ouling records scheduled for permanent retention for which digital surrogates are to be substituted, each agency shall certify [by submitting a Disposal Certificate for the analog records] that the [digital] copies will be made in accordance with the regulations of the Commission and will be authentic copies of the analog records."

Implicit in this section is that the scanned record is non-permanent a Disposal Certificate is not required for disposal of the paper record. When the scanned digital non-permanent record has met its retention requirement a Disposal Certificate must be completed and approved before the digital record is deleted from the storage system.

Please contact this office at (217) 782-2647 if you have any questions.

Thank you.

[Signature]

Robert C. Haest, CRM
Illinois State Records Unit