

# FORWARD

This manual is designed to provide accurate and authoritative information for the proper management of records at Southern Illinois University-Carbondale, in order to meet the requirements of the State Records Act and State Records Commission Rules. The State Records Act is, "An act relating to State records, providing for a State Archives division of the office of Secretary of State, creating the State Records Commission and defining its powers and duties, providing for a continuing records and paperwork management program and repealing an Act therein named." This act shall be known as "The State Records Act," (Sec. 1, 43.4 - State Records Act).

This act includes 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," as hereto or hereafter amended (State Records Act, Sec. 2, Paragraph 2, effective Jan. 1, 1984).

The contents of this manual include guidelines for records management, file management, records retention schedule vital records protection, forms management, electronic records and maintenance, Records Management and University Archives. These procedures are intended to assist University departments in establishing efficient office filing systems, which both meet their daily operational needs and meet legal requirements for retaining, transferring, preserving, and destroying state records and non-records.

Questions about the use of this manual, or any of the specific procedures should be directed to the Director of Records Management or Assistant Records Management Officer at 536-6613.

# Southern Illinois University Carbondale Records Management Policy

## Table of Contents

	<u>Page</u>
A. Terms .....	3
B. Records Management .....	5
C. Micrographics .....	8
a) Document Preparation	
b) Transfer of Records	
c) Storage of Microfilm Records in the Records Management Vault	
d) Requesting Hardcopy Prints, Microfilm Duplicates	
e) Retrieving Paper Records For Microfilming	
f) Disposal of Microfilmed Records	
D. Vital Records program .....	11
E. Disposal of Records .....	14
Disposal of Confidential or Sensitive Records	
Disposal of Stored Records	
Disposal of Non-University Records	
F. Filing .....	16
G. Electronic Records and Maintenance .....	17
Appendix A .....	19
Appendix B .....	20
Appendix C .....	21

## A. TERMS

- 1) **Active record** – those records that are referred to frequently in the daily operations of University business.
- 2) **Archives** – a facility that houses records retained for historical or research value after their primary purpose has been fulfilled.
- 3) **Disposal of records** – is the disposal of the actual record, either by physical destruction or transfer to University Archives.
- 4) **Electronic record** – is a permanent set of data stored on a computer's hard drive, computer disk, tape drive or other electronic mediums. This includes electronic mail, databases and web sites.
- 5) **Inactive record** – records referred to on an average of once per month or less. Only inactive records of value are to be microfilmed. (10 year retention or more)
- 6) **Non-university record** – extra or duplicate copies of University records or documents preserved only for convenience of reference; stocks of printed or reproduced documents kept for supply purposes where file copies have been retained for record purposes; books, periodicals, newspapers, posters and other library and museum materials made or acquired and preserved solely for reference or exhibition purposes; private materials neither made nor received by a University staff member in connection with the transaction of University business; duplicate microfilm or University records; magnetized, perforated and photographically coded cards and tapes provided that the documents containing the same information have been retained or approved for disposal; material not filed as evidence of department operations or for its informational value such as telephone call slips, letters of transmittal, routing slips, etc; dictation tapes, machine tapes and mechanical records which have been transcribed into typewritten or printed form; preliminary drafts of letters, memoranda, reports, work sheets, and informal notes which do not represent significant basic steps in the preparation of the record document. When in doubt, refer to manual.
- 7) **Office of Record** – any office that produces records and has the sole responsibility to maintain that record.
- 8) **Retention schedule** – a schedule used to control the automatic flow of records from their creation to final disposition.
- 9) **University record (original)** – any papers, books, maps, photographs, original microfilm, or other documentary materials regardless of physical

form or characteristics, made, produced, executed or received by any academic or administrative staff member in connection with the transaction of University business.

- 10) **Vital record** – records essential for the continuous operation of the University.

## **B. RECORDS MANAGEMENT**

The overall objective of the Records Management Program is to provide for the effective scheduling, retention, retrieval, disposition and safekeeping of all records. This specifically includes:

- 1) Establish, plan, and develop a records policy for Southern Illinois University-Carbondale.
- 2) Plan and develop long-range goals for the University in the area of records management.
- 3) Work with State Records Commission and the University on new applications and reclassification of records.
- 4) Arrange for the orderly transfer of inactive records to Micrographics.
- 5) Work with University Archives to maintain a vital records protection program.
- 6) Provide assistance in maintaining filing systems to assure efficient usage and prompt retrieval of records.
- 7) Provide assistance to all University departments in all matters relating to records management, filing systems, electronic records, and microfilm systems.

The responsibilities of the Records Management Program are categorized into the following areas:

### ***Director of Records Management***

The Director of Records Management shall promote sound records management practices as follows:

- Administer the Records Management Program.
- Consult with departments on Records Management policies and procedures.
- Develop and maintain filing systems that will assure efficient usage and prompt retrieval of records.
- Develop training programs for faculty/staff/students.
- Coordinate and develop all microform applications as required.
- Assist in the evaluation of all filming procedures by other departments within the University to ensure that all standards are being met.

- Maintain communication between departments, committees, and stay abreast of current regulations and new developments in Records Management.

### ***Records Coordinator***

The Records Coordinator is the vital link between the department and the Director of Records Management. The Records Coordinator's responsibilities includes:

- Notify Director of Records Management of any changes to the retention schedule within his/her department.
- Review department records annually to screen out duplicate copies and records with no administrative value
- Consult with Director of Records Management for the transfer of records to Micrographics.
- Prepare documents and arrange for records to be microfilmed and/or destruction.
- Consult with Director of Records Management on the creation of new records and when other records become obsolete.

### ***Records Management***

Records Management will provide for the microfilming and destruction of University records that have been approved by the Director of Records Management in accordance with the records retention schedule and the State Records Commission.

Records Management will:

- Provide for pick-ups for all records designated for microfilming and destruction.
- Provide hard copy of microform to the department of records only.
- Provide retrievals of source document records to department of records.
- Maintain security of records stored in Records Management vault.
- Maintain security of off-site storage area.
- Schedule records for destruction in accordance with records retention schedules.
- Ensure that departments doing their own microfilming and scanning are meeting the requirements and standards of the Association for Information and Image Management. Departments not following these standards will not be allowed to continue these procedures until such time as they meet the standards.

Departments doing their own microfilming can use the Records Management facility for the processing of their film.

***SERVICES PROVIDED BY RECORDS MANAGEMENT ARE AT  
NO COST TO EACH DEPARTMENT***

## C. MICROGRAPHICS

Micrographics is the technical art and science of reducing any form of information to a microfilm format. The Micrographics department at SIUC uses only one method of micrographic conversion of information.

Source document microfilming is the filming of source papers such as checks, invoices, personnel files, etc. This application of microfilm has been a common practice for decades.

Records Management plays a role in coordinating the University's records management program by providing specialized assistance to departments by coordinating the administration of records management needs at the University. An effective Records Management/Micrographics system benefits both the department and Micrographics by allowing:

- Space savings
- Security storage
- Faster and more efficient information retrieval
- File integrity

### WHEN TO CONSIDER MICROFILMING

Each Records Coordinator, along with the Director of Records Management should conduct a review to assure that their records are in compliance with the Records Retention Schedule as often as needed. During this process they should look for potential micrographic applications. The following guidelines will be helpful when determining specific records for conversion to microfilm:

- **FILE AND SPACE PROBLEMS** due to a high volume of records that are needed at the department.
- **A TEN YEAR OR LONGER RETENTION** and the Records Coordinator is considering sending the records to Archives
- **WHEN THE RECORDS ARE NEEDED AT SEPARATE LOCATIONS**, other personnel in the department or in other departments can generate duplicate copies of the microfiche for use.
- **WHEN RECORDS ARE VITAL TO THE DEPARTMENT**, microfilm would serve as an archival copy of the original records in case of disasters.



## APPLICATIONS DEVELOPMENT

The first step in having your records converted to microfilm or electronic format is to contact Micrographics. A test will be conducted to ensure that your specifications are met. After approval, an ongoing microfilming system will be set up for your records.

### **MICROGRAPHICS**

The Micrographics department is a full-equipped in-house microfilming operation; designed to convert paper based records to a variety of microfilm formats. All systems are set up based on the department's specifications. Once the records have been microfilmed, they will be destroyed with the proper approval from the State Records Commission. The microfilm now becomes the legal record copy.

#### 1) Document Preparation

Each department is requested to prepare their own records for microfilming according to the prescribed specifications. If the department fails to follow these specifications, the records will be returned to the department for proper preparation.

**Records Management WILL NOT DATA PREP ANY RECORDS! (See Document Preparation Checklist in appendix C)**

#### 2) Transfer of Records

Each department should contact Micrographics by Wednesday afternoon to request a pick-up of records. Boxes may be obtained from Officemax (see appendix A). Along with each box, the department should fill out a box label and attach to the front of each box. (see appendix B)

#### 3) Storage of Microfilmed Records in Micrographics Vault

Micrographics has an environmentally controlled vault for the storage of microfilm records, including COM and CD-ROM. These records can last indefinitely while stored in this vault.

#### 4) Requesting Hardcopy Prints, Microfilm Duplicates, Retrieval of Microfilmed Records

To request additional duplicates or hardcopy prints of specific records, contact Micrographics. Give your name, department, and the records you wish to retrieve. Micrographics can either

send your request via Campus Mail, by fax, or by e-mail or Transit. Please specify which type of delivery is preferred. If delivery is by Campus Mail, please allow two days for this delivery. If delivery is by Transit, it is the responsibility of the department to purchase the Transit tickets.

5) Retrieving Paper Records for Microfilming

If a file needs to be returned to the department once it has been transferred to Records Management call and explain what is needed and when the box was sent over for filming. Records Management will retrieve the file from the box and return it to you. This file will be microfilmed once it has been returned to the Records Management department.

6) Disposal of Microfilmed Records

Microfilmed records retain the same characteristics they had when in paper form. As a result, the retention period and disposal date set up for the record remains the same once the records are microfilmed.

***Records Management will not release any requested information to anyone other than the department of record.***

#### **D. VITAL RECORDS PROGRAM**

All University records designated by the State Records Commission and the University are to be secured, either by microfilm or other comparable and suitable methods. These records are essential to the operation of the University and if destroyed would seriously impair or disrupt normal University affairs, or which by their loss might place the University in a state of legal or fiscal jeopardy (see Records Retention Schedule).

University departments that have vital records are responsible for the security of these records until they are transferred to Archives. Microfilming schedules or alternate methods of securing these records will be worked out between the Director of Records Management, the department, and University Archives.

**(SEE TRANSFER TO ARCHIVES FORM – ARCHIVES WILL SUPPLY FORM)**

The University Archives is a part of Special Collections (along with Rare Books and Manuscripts) in Morris Library. Archives retains and makes available for research, in accordance with legislation protecting the privacy of individuals, the non-current records of the University which have historical, legal, or intrinsic value. Although most retention schedules will indicate record groups destined for the Archives, the University Archivist can denote any additional records considered essential for permanent preservation. In addition to administrative records, Archives also is interested in departmental papers and the papers of individual faculty members making significant contributions to the University or to their academic specialties.

The University Archives also maintains files of all University publications, including departmental and organizational newsletters, and keeps an archival copy of all graduate dissertations and theses, and all research papers submitted in lieu of these. Archives also keep an archival copy of each University Press edition and printing.

Offices and individuals having questions about the placement of their papers in University Archives are encouraged to call the University Archivist. Archives staff is available to help evaluate accumulated records. The telephone number for University Archives is 453-2543.

SPECIAL COLLECTIONS/ARCHIVES  
(618) 453-2543

TO: All Campus Offices sending material to Archives

FROM: Special Collections/Archives

RE: Preparation/transfer/retrieval of archived material

SUPERCEDES: All previous memos issued on the above

Please keep the following information and refer to it when sending material to or requesting material from University Archives.

**PREPARATION/TRANSFER OF MATERIAL**

**STEP 1:** Consult your office copy of Application of Authority to Dispose of State Records. This is a guide to retention and/or disposal of various office records/files which may be in use campus-wide. If your office does not have this information, contact Sandra Mason at Micrographics on McLafferty Road, 536-6613.

**STEP 2:** Determine the availability of record-storage cartons at your location. These are standard size, one cubic-foot cartons with lids, folded flat for storage, that are used for holding office files. This is the only size accepted by Archives for this purpose. If your office doesn't have a supply of these, they may be obtained from Buscharts. (FEL00725 – woodgrain or FEL00724 – white)

**STEP 3:** Assemble record cartons, and pack with your files. The cartons and lids are stored flat, but are easily assembled. Take care when packing the boxes that the files are arranged in some degree of order, such as alphabetical, chronological, or by subject. This makes both preparing an inventory and retrieval of material much easier.

**STEP 4:** Type an inventory for each box, listing files in order as they have been arranged in the box, front-to-back. Please indicate on your inventories any **RESTRICTED** material. The only other information that should be included on the inventory is the list of files. Place the typed list **inside** its corresponding box. Make no marks on the outside of the box, and do not tape it shut.

**STEP 5:** Type your office name and date on file folder labels, to be attached to the back of each box, in the lower left-hand corner.

**STEP 6:** Arrange to have the material transferred to Archives, as we do not pick up the material.

**PLEASE NOTE:** Whenever possible, transfer material in shipments of 20 boxes or less. This is both more economical for you, and easier for Archives to deal with, given space limitations and staffing shortages. Transit will transport material between your office and the Archives at the cost of two transit tickets per box. The transit tickets cost \$1.50 each. It would cost \$3.00 to move one box or a station wagon may be rented from Travel Service for \$10.75 or 24 cents per day, whichever is greater. The telephone number for Travel Service is 453-3357. Campus Mail (453-5348) will also pick up and deliver material at no charge on a first come, first served basis. However, weight and volume restrictions may apply. If delivering the material personally, call Archives prior to your arrival so that a staff member can meet you on the library's loading dock, located in the parking lot between Morris Library and Lindegren Hall (Medical School).

If more than 20 boxes of material must be transferred, you may wish to contract with Physical Plant; however, the charge for this service is much greater.

#### RETRIEVAL OF MATERIAL

A copy of each inventory sent to the Archives will be returned to you shortly after the material has been received. These copies should be kept by your office, and arranged in order by box number. Material should be requested at least 24 hours in advance of time needed, as it may be housed in the Library's off-site storage facility on McLafferty Road. Retrieval requires only a call to Archives, giving the box number in which the material desired is located. Individual files may be retrieved by giving box number/file name. A staff member will call you when the material has been located; to discuss options for transferring the material to you.

The staff of Special Collections/Archives appreciates your cooperation in this matter. We are available to assist you with any problems/questions you may have. Your cooperation allows us to better serve the offices on campus by meeting their needs in an efficient and timely manner.

## **E. DISPOSAL OF UNIVERSITY RECORDS (ORIGINAL)**

An original University record is any papers, books, maps, photographs, original microfilm, or other documentary materials regardless of physical form or characteristics, made, produced, executed or received by any academic or administrative staff member in connection with the transaction of University business.

All University records are scheduled for disposal through the Director of Records Management and the State Records Commission, which determines the administrative, legal, fiscal and historical value of all records.

**UNIVERSITY (ORIGINAL) RECORDS SHALL NOT BE DESTROYED OR OTHERWISE DISPOSED OF BY ANY UNIVERSITY OFFICER OR EMPLOYEE OF HIS/HER OWN INITIATIVE.**

### ***DISPOSAL OF CONFIDENTIAL OR SENSITIVE RECORDS***

- 1) All confidential or sensitive University records approved for disposal are physically destroyed by any method of destruction making record reconstruction impossible.
- 2) The State Records Commission and Director of Records Management will determine what constitutes confidential or sensitive records. (Student academic records, health, payroll and personnel files are examples of **confidential records**).
- 3) Departments may transfer to Records Management all records approved for disposal, which require physical destruction.
- 4) A destruction label must be included on all records being transferred to Records Management for physical destruction. (See Destruction Label in appendix B)

### ***DISPOSAL OF STORED RECORDS***

All University records stored in the Records Management vault will be merged in a records disposal schedule approved by the University and the State Records Commission. These records will not be destroyed **WITHOUT WRITTEN CONSENT** from the State Records Commission and department. These may be photocopied by departments for their use.

All stored records scheduled for destruction will be shredded by the Micrographics department.

## ***DISPOSAL OF NON-UNIVERSITY RECORDS***

Non-record materials or materials not included within the definition of records as contained in the State Records Act may be destroyed at any time by the department in possession of such material without the prior approval of the State Records Commission. **The Commission may formulate advisory procedures and interpretation to guide in the disposition of non-record materials.** (Sec. 20, 43.23 – State Records Act). The Director of Records Management in conjunction with the State Records Commission may implement guidelines and procedures for the destruction of non-record materials.

## **F. FILING**

Filing systems are methods of arranging records in a systematic sequence. These systems are needed for the easy location of any particular record in a file. The ready location of records is the sole reason for maintaining files.

A standardized file folder and file guide arrangement for all departments using conventional drawer files is to:

- Improve records filing and retrieval
- Facilitate and simplify filing personnel training
- Achieve savings in file folder purchasing

Folder and index guides can be purchased through Officemax. Colored labels can also be used to assist in file identification.

The Director of Records Management may be contacted for information and assistance in helping your department implement a filing system.



## **G. ELECTRONIC RECORDS**

An electronic record is any permanent set of data stored on a hard drive, computer disk, tape drive or other mediums. The provision of the University Records Management Program applies to all electronic records owned by the University which are currently in use or which may be proposed for development. All records that are electronically produced will be stored on microfilm also. The management of electronic records follows many of the same principles used to manage traditional records to ensure compliance with the State Records Commission.

Examples of common electronic records:

- Electronic mail (not yet decided on by State Records Commission)
- Databases
- Web sites

### ***RESPONSIBILITIES OF OFFICE OF RECORDS MAINTAINING ELECTRONIC RECORDS***

- Assure that all decisions regarding the electronic records are in compliance with University policy and procedures. Where a decision affects other areas, the Office of Record is responsible for assuring that representatives of the other areas are involved in the decision process as appropriate.
- Delegate authority regarding functions relating to the electronic record as necessary.
- Define and describe the data elements within the electronic record and assure that those data elements meet University requirements.
- Assure the quality of the electronic record contained in the database.
- Assure that all University policies and procedures relating to the confidentiality, privacy and security of data contained in and extracted from the electronic record are followed.

### ***CONFIDENTIALITY OF DATA***

Each electronic record must be reviewed and a level of confidentiality established for all data elements within the electronic record. This review must be conducted by the designated Office of Record and should involve representatives from other areas as appropriate.

Levels of confidentiality to be assigned:

- 1) Level I – available only to persons designated by the Office of Record
- 2) Level II – available only to the Office of Record

### ***PRIVACY OF DATA***

Every reasonable precaution will be taken to assure the privacy of all information on individual employees, students, alumni, and others associated with the University.

All information in each electronic record must be reviewed to assure that:

- Each piece of information related to an individual is required.
- Information related to an individual is assigned the highest appropriate level of confidentiality.
- Safeguards are in place to prevent any release of information in violation of University policy.

This review must be conducted by the Office of Record and should involve representatives from other areas as appropriate.

### ***SECURITY OF ELECTRONIC RECORDS***

All electronic records designated as vital to the operation of the University must be copied periodically and stored in a highly secure area located remotely from the computing facility holding the data set. This secure area must be sufficiently protected to assure against destruction or theft of the data set by any reasonable force.

## APPENDIX A

### STORAGE BOXES

Records Management recommends any of the following boxes for your projects:

<b>Name</b>	<b>Catalog #</b>	<b>Price</b>
Stor-A-File	P512778	\$46.28/case (12)
OfficeMax (white)	P5OM97213	\$38.59/case (12)
OfficeMax (kraft)	P5OM97207	\$37.70/case (12)
Quick Store Bankers Box	P500789	\$25.91/case (12)
Stor-A-File	P512150	\$40.75/case (12)
Stor-A-File (white)	P512152	\$87.51/case (25)
Stor-A-File (kraft)	P512153	\$81.90/case (25)

All boxes can be ordered from OfficeMax.

## **APPENDIX B**

**ALL FORMS USED BY RECORDS MANAGEMENT ARE  
REPRESENTED IN THIS SECTION!!**

## **APPENDIX C**

### **Document Preparation Check List**

- 1. Files in correct sequence**
- 2. Target sheets inserted as 1<sup>st</sup> document in file**
- 3. Unnecessary documents removed**
- 4. Legibility of documents (traced over if necessary – no red ink)**
- 5. Any bound documents removed from binders**
- 6. Staples and paper clips removed**
- 7. Torn documents repaired (taped)**
- 8. Documents less than a half sheet in size (5 1/2” x 8 1/2”) taped to full sheet**
- 9. Documents larger than 11” x 17” removed (can be filmed separately)**
- 10. No folded documents**
- 11. Internal document in file in correct sequence**
- 12. All documents face up, title up**
- 13. Inter-mixed computer reports separated**
- 14. Documents placed in transfer boxes in correct sequence**
- 15. Transfer boxes titled and numbered**
- 16. Fill out the carton label for jobs (scanning or filming) and attached to the front of each box**
- 17. Records Management department notified by Wednesday of each week to arrange pick ups**
- 18. For all Records Management forms please visit the Records Management website at <http://recordsmgmt.siu.edu/links.html>**

