# SPEC

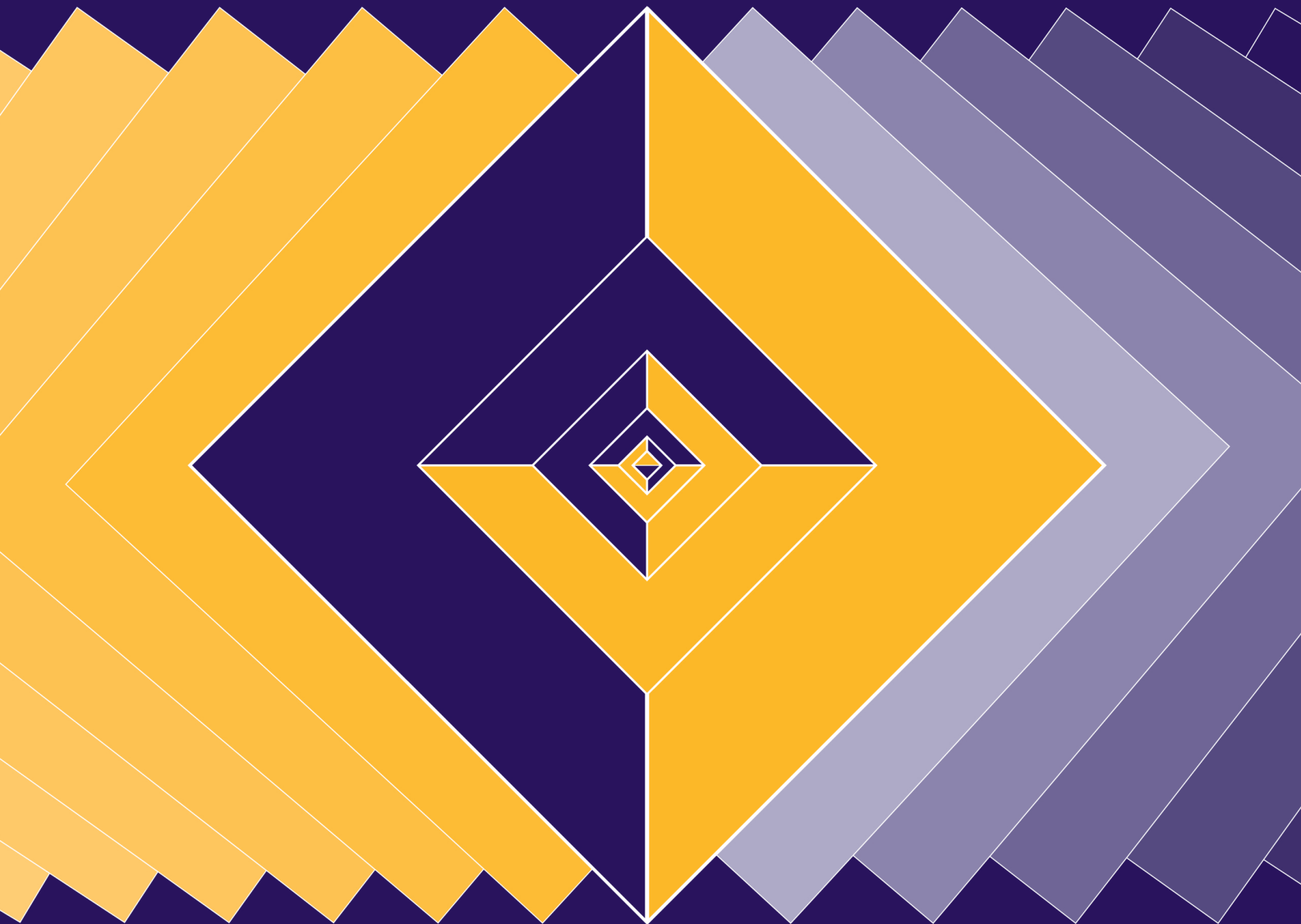# Kit 305

ASSOCIATION OF RESEARCH LIBRARIES

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# SPEC Kit 305

## Records Management

August 2008

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University of Alabama

ASSOCIATION OF RESEARCH LIBRARIES

# SPEC
# Kit 305

<div align="right">

# Records Management
## August 2008

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## Introduction

Records management is the field of management responsible for efficient and systematic control of the creation, receipt, maintenance, use, and disposition of the records of a business or organization. There are two reasons for retaining non-current records. First is to satisfy the legal and fiduciary responsibilities of the organization for specific periods of time; second is to permanently retain those records which document the history of the institution. Not all academic or research institutions have a records management program. This survey was an inquiry into the state of records management in ARL member institutions.

The survey was distributed to the 123 ARL member libraries in February 2008. Sixty-two libraries completed the survey for a response rate of 50%. Of those 62, 41 (66%) have records management programs. Three have had programs, but no longer have them. One of these began at an unknown time and ended in 1993; one existed for only five years, between 1991 and 1996; a third ended in 2003 after thirty-eight years of operation.

At the majority of responding institutions (25 or 61%) records management duties are located in a library unit. They are the responsibility of special collections in twelve institutions (29%); archives units that are part of the library system but not part of the special collections library or department in five cases (12%); and another library unit or department in 10 cases (24%). Records management is the responsibility of an archives unit that is not part of the library system in five cases (12%) and of some other non-library unit or department in 11 cases (27%).

Thirty-five respondents reported the year the records management program began. Four started in the 1960s, the earliest in 1962 in a non-library archives unit. In each decade since, between seven and nine new programs have begun, mostly in library units. The most recent began in 2007 and reports to a non-library unit, the University Secretariat. The percentage of departments that participate in the records management program ranges from a minimum of 2% to a maximum of 100% with a mean of 53.11% and a median of 50%.

The respondents at institutions where records management is not the responsibility of a library unit were asked to conclude the survey at this point. The 25 remaining respondents completed the rest of the survey.

## Staffing

Sixteen respondents (64%) report that there is a professional records manager responsible for their records management program. At one institution, two positions, Associate Archivist and Electronic Records Archivist, share this responsibility. Time spent on records management duties by individuals in this position ranges from a minimum of 10% (one individual, Head, University Archives & Records Management) to a maximum of 100% (eight individuals with titles such as Records Manager, Records Officer, Records Coordinator, or Records Archivist). Positions that

spend less than half their time on records management duties are mostly designated as archivists. Overall, the mean percentage of time is 70.6% and the median is 95%.

Eighteen respondents (72%) reported a total of 27 other professional staff. In ten cases these were in addition to a records manager; in eight they were instead of a records manager. The majority of these positions are archivists. Time spent on records management duties by individuals in these positions ranges from a minimum of 1% to a maximum of 100%, though only seven individuals spend more than 50% of their time on these activities. The mean percentage of time is 37.5% and the median is 25%.

Twelve programs (48%) have a total of 17 support staff. Titles reported include Archives and Records Assistant, Archives Assistant, Inactive Records Center Manager, Institutional Records Assistant, Office Manager, Project Archivist, Records Management Specialist, Records Services Assistant, Records Technical Assistant, Reference Assistant, and Senior Library Associate. Time spent by individuals in these positions on records management duties ranges from a minimum of 1% to a maximum of 100% (8 of 17 support staff). The mean is 60.7% and the median is 75%.

Twelve programs (48%) have student assistants, including three that don't have support staff. Time spent on records management duties by the 24 individuals in these positions ranges from a minimum of 0.1% to a maximum of 100% with a mean of 34.8% and a median of 20%.

Three respondents (12%) reported additional professional staff that didn't fit above. Their titles and percent of time spent on records management are: Associate Dean of the Special Collections and Digital Programs Division (represents the university on the State Records Commission) (1%); Manager, Resource Support (25%); and Records Services Archivist (75%).

The majority of records management programs (12 of 22 or 55%) report to the head of the archives. Four report to the head of special collections/archives, five report to an AUL position, and one reports to the university librarian.

## Budget

Only four of the 25 respondents (16%) have a separate, designated operating budget for records management. The remainder (84%) are covered by a general operating budget. Of the four with a separate budget, one's funding is part of the administering unit's budget, one's is part of the broader institution's budget, and two derive their funding from both the institution's and the administering unit's budgets. Eighteen respondents (72%) indicated that all costs are covered by their budget. Two (8%) also charge for services. At one institution, each department covers its own expenses. Other responses indicate that a combination of strategies is used to cover costs.

Seven respondents (28%) described charges for services, including: charges for boxes, charges for box pickup, charges for re-boxing and inventory if departments are unable to do so, hourly fee for services, and charges for storage, retrieval, destruction, and HIPPA-related requests. Units may also be required to use preferred vendors and are responsible for charges incurred.

## Records Management Services

Records programs manage a variety of record types. Of the 25 responding institutions, all manage text (eye-readable), 22 (88%) manage graphic materials (eye-readable pictures, drawings, maps, photographs, architectural plans, etc.), 19 (76%) manage audio-visual materials (sound recordings, film, etc.; requires a device other than a computer to access), and 18 (72%) manage electronic records (medium that requires a computer to access). In addition, two have artifacts and one has floppy disks in non-permanent records.

Respondents were asked whether the records management program or another unit provided a list of records management services. In the majority of cases the records management program prepares policy and procedure documents (85%), trains originating department staff in proper records man-

agement procedures (85%), transfers permanent records to archives (76%), prepares records retention schedules (68%), picks up materials from originating departments (56%), stores text records (56%), and retrieves records from storage (56%). Only three or four respondents don't offer these services.

Records management programs are somewhat more likely to store graphic materials (13 vs. 9 cases), answer reference questions from records in storage (13 vs. 8 cases), and store audio-visual materials (12 vs. 8 cases). Responsibility for preparing content lists is almost equally divided between the records management program and another unit (13 vs. 14 cases).

Another unit more often has responsibility for storing electronic records (64%), destroying records at the end of their retention period (60%), delivering retrieved records to the originating department (48%), storing other record formats (44%), and converting permanent records to preservation format (40%). Eleven respondents (44%) report that discarding records at the end of their retention schedules is not a service offered; thirteen (52%) report that refreshing the format of permanent records is not offered.

At all of the responding institutions staff in the originating department have responsibility for creating content lists at some level. At 11 institutions staff in the records management program share this responsibility. Lists are most often made at the box level (23 respondents) and the folder level (22 respondents). Originating departments perform this task in 20 cases (91%), while records management program staff are responsible in 11 cases (50%). Twelve respondents create content lists at the item level. Four respondents report making content lists at some other level, for example, document level for electronic records, accession level, and series level. One respondent reported that each department maintains its own record keeping system and levels vary from department to department.

## Policy Decisions

Policy decisions are made at many levels and can involve a number of individuals. In some cases, state records commissions or the state archives either singularly or jointly may establish records retention schedules for institutions of higher education. In others, there may be statewide policies through the action of a state board of regents.

At the university level, policy decisions may be made by records management committees or by the individual in charge of the records management program. Retention schedules may be created by the individual in charge of the records management program, often with input from originating divisions or offices and the appropriate dean or vice president, as well as with input from University Counsel. In some cases, such a records retention policy must then be approved by the state records commission. Changes to statewide retention schedules may be suggested to the state records commission. Others mentioned by respondents as involved in retention schedules include the designee of the president, the records officer in each department, and the head of the office creating the records.

Policies and procedures for training of departments, transportation, storage, and destruction are often the role of the University Archivist.

## Records Storage

Physical records are stored in a variety of locations. Fifteen respondents (60%) report using remote storage, eleven (44%) use on-site storage, and six (24%) report storage in the originating department. Eleven (44%) use a combination of locations. The survey also asked where electronic records are stored. The 23 open-ended responses indicate that electronic records are widely distributed across individual office computers, departmental servers, enterprise-wide systems, offsite facilities, state records centers, and commercial vendors. Only a few respondents mentioned storing records in an institutional repository.

The amounts of materials currently in storage were reported in different ways, including items, boxes, cubic feet, and linear feet. While this makes it difficult to compare different programs, it is clear that there is a wide range in the quantities of records be-

ing managed. For example, 15 respondents reported between 7,000 and 13,500 boxes, 1,500 to 27,000 cubic feet, and 4,971 to 17,100 linear feet of textual material. Nine respondents with graphic materials reported from 500 blueprints to 100 boxes to 31.25 linear feet to 500 cubic feet to millions of items. A similar range of audio-visual material was reported: from approximately 25 to 1.5 million items. Electronic records are harder to quantify. One reported 150 disks of unspecified size, one reported 76 gigabytes, and two reported 100 and 263 items. Two respondents indicated that they do not know how many records are in storage because storage is too distributed. Four could only address records of permanent value.

As with materials in storage, the amounts of new material received on average each year were reported in different ways: boxes, items, feet, etc. Incoming records range from a few boxes, items, or feet to thousands of each.

### Records Management Systems

Nineteen of 22 respondents (86%) use both paper and electronic systems for accessions, inventories, check outs, etc. Three (14%) rely on an electronic system alone, and none rely completely on a paper-based system. For their electronic systems, 12 (55%) use commercial software and 10 (45%) use homegrown systems. Five use dedicated records management software (Iron Mountain's Accutrac (2), DocuData Software Corporation's EDC RC, DHS's Total Recall, and EMC Documentum). Three use integrated library systems (Ex Libris's ALEPH and Voyager). One uses digital content management software (DSpace and EAD (DLXS)), one uses Web design & development software (Macromedia Dreamweaver). Three use Microsoft Access relational database software.

### Records Use

Requests to retrieve records may be made by staff in the originating office at almost all of the responding institutions (91%). Seven respondents (33%) report that staff in other offices of the institution and the general public may also make such requests. The general pub-

lic may make requests at one other of the responding institutions. In a few cases the originating office may permit access to their records to other individuals.

Records are checked out at all levels, but most often at the folder (75%) or box (70%) level. Four respondents (20%) check out materials at the item level. Two respondents clarified that items aren't actually "checked out," they remain in the facility.

Fourteen respondents report, on average, from two to 2,770 checkout requests per year. Of these, five (36%) report 100 or fewer checkout requests per year, five (36%) report from 150 to 335 checkout requests per year, and three (21%) report 900–1400 checkout requests per year. The mean number of requests per year is 546; the median is 198. At 10 institutions (56%) materials are not used onsite; at eight (44%) they are used onsite.

### Disposal/Destruction of Records

All 18 respondents report that they destroy records at the end of their retention periods. Five of these also report discarding some items. Thirteen respondents (72%) destroy textual records at the end of their retention period; five (28%) destroy some and discard others. Eight respondents (73%) destroy graphic materials, two (18%) discard some and destroy other items, and one (9%) only discards them. Seven respondents (78%) destroy audio-visual materials, one (11%) destroys some and discards others, and one (11%) only discards them. Six respondents (86%) destroy electronic records; one (14%) discards some and destroys others. One respondent only manages permanent records, so destruction is not an issue.

Of the five respondents who discard records, all use recycling and one also discards records in the trash. Ten of the respondents who destroy records (56%) do so by shredding; eight (44%) use the services of vendors; three (17%) degauss audio-visual and electronic records and then shred them; one (6%) shreds and burns. As with the number of new items added each year, the quantities of records discarded or destroyed on an annual basis ranges from a few items, boxes, or feet to hundreds or thousands.

### Staff Training

Staff receive training in records management policies and procedures in a number of ways. The most common methods are in-person workshops (20 respondents or 83%) and on-the-job experience (19 respondents or 79%). Self-study of manuals (46%) and formal classes (33%) are also fairly common. Only three respondents (13%) have used webinars. A variety of other methods have been used, including a records management listserv, Web training modules, and one-on-one instruction.

Thirteen respondents (59%) reported that all staff members are trained to manage all formats of records. Of the other nine respondents, one stated that all staff are trained to manage textual, audio-visual, and graphic materials, while only the department head was trained to handle electronic records. One reported staff training in paper and electronic records and other formats as needed. Two reported limited experience or no training with electronic records. One stated that training depends on job functions and data access policies.

### Assessment

The survey asked what metrics are used to assess the performance of the records management program.

Eleven respondents (48%) measure success by the percentage of departments using the records management program. Seven (30%) use the turnaround time for retrieval requests. Six (26%) use the turnaround time for accessioning, creating box lists, and moving items to storage. Four (17%) use the backlog volume. Eight (35%) have not assessed the success of the program.

### Conclusion

It is interesting that only two-thirds of the institutions responding have records management programs and that the majority of those programs are located in the library. Within those libraries, there is no single model of records management. In some cases, the records management program deals with both permanent and non-permanent records. In others it deals with permanent records only. Not all are funded in the same way. Only five programs use dedicated records management software systems. The majority who are utilizing electronic tools use tools that are library specific or could be expected to be in use in a library. Surprisingly little progress seems to have been made in gaining control over electronic records, judging by the number in storage. Nonetheless, the services offered to their institutions are largely the same.

# SURVEY QUESTIONS AND RESPONSES

The SPEC survey on Records Management was designed by **Clark E. Center, Jr.**, Curator, W.S. Hoole Special Collections Library, University of Alabama. These results are based on data submitted by 62 of the 123 ARL member libraries (50%) by the deadline of February 25, 2008. The survey's introductory text and questions are reproduced below, followed by the response data and selected comments from the respondents.

Records management is the field of management responsible for efficient and systematic control of the creation, receipt, maintenance, use, and disposition of the records of a business or organization. There are two reasons for retaining non-current records. First is to satisfy the legal and fiduciary responsibilities of the organization for specific periods of time; second is to permanently retain those records which document the history of the institution. The benefits of a records management program include:

- Systematic segregation of records that have significant legal or operational value from those that have permanent value to the institution.
- Reduction in duplicated efforts from one administrative unit of the organization to another.
- Alleviation of storage space problems throughout the organization.
- Protection of personal information contained in the records.
- Efficient retrieval of records.
- Proper disposal of outdated records.
- Saving money (according to a 1997 estimate by the National Archives of Records Administration, records kept in storage cost $21.61 less per cubic foot than records kept in office space.)

Not all academic or research institutions have a records management program. In those that do, administration of the program may be the responsibility of staff in an archives department, a special collections department or library, a remote shelving facility, or some other unit. There has, as yet, been no inquiry into the state of records management in ARL member institutions. We don't know how many ARL libraries are responsible for an institutional records management program, what models they follow, what practices they follow, or who pays for records management.

This survey seeks to answer the questions:
How widespread is the practice of placing records management in the library rather than somewhere else in the institution?
Where is records management placed in the administrative structure of the library?
What staff administer the records management program?

Are records physically housed within the library or elsewhere?

What are the common records management practices in ARL libraries?

What services are offered to institution clientele?

How many records are typically accessioned in a year?

Who pays the bills for records management?

## BACKGROUND

1. Does your institution have a records management program? N=62

| | | |
|---|---|---|
| **Yes** | 41 | 66% |
| **No** | 18 | 29% |
| **It used to have a program, but it no longer does** | 3 | 5% |

If there used to be a program but it has ceased, enter the year in which it began and ended, then submit the survey.

| Began | Ended |
|---|---|
| unknown | 1993 |
| 1991 | 1996 |
| 1965 | 2003 |

2. Which unit in your institution is responsible for administering the records management program? N=41

**Library Unit N=25**

| | | |
|---|---|---|
| Special Collections library or department | 12 | 29% |
| Archives unit that is part of the library system but not part of the Special Collections library or department | 5 | 12% |
| Other unit/department | 10 | 24% |

Please name the other unit/department.

"Archives and Rare Books Library (includes special collections)."

"Archives and Special Collections (all one department). Some Records Management also administered by Vice

President for Administrative Affairs."

"Archives & Special Collections at the T.J. Dodd Research Center (a unit of the Library). Storage/retrieval/destruction is available via a contract with Iron Mountain."

"Archives unit that is part of the library that also includes Special Collections as a sub-unit."

"Archives unit that is part of the library system, also responsible for Special Collections. Some functions contracted to Iron Mountain."

"Budget & Asset Management works with Special Collections and University Archives."

"Electronic Records Program."

"Records management functions are distributed across university. There is no central records management unit or records management officer. The University Archives inside the library system is involved."

"University Archives unit that is part of the Special Collections and Digital Programs and the Library Department."

"[Special Collections and] University Counsel."

**Non-library Unit N=16**

| | | |
|---|---|---|
| Archives unit that is not part of the library system | 5 | 12% |
| Other unit/department | 11 | 27% |

Please name the other unit/department.

"Distribution & Document Management."

"Academic Affairs."

"University Business Office."

"Privacy Office."

"Records manager reports within the Office of General Counsel."

"Vice President for Business Services and Treasurer's Office."

"Micrographics."

"Records management used to be in the library (Special Collections/Archives) but is at this moment in transition to some other unit of the University—we don't know which one yet."

"Records Management Services (under Vice President for Finance and Facilities)."

"Office of Procedures, Records, and Forms under Business and Finance."

"University Secretariat."

3. In which year did the records management program begin? N=35

**Library Unit N=24**

Range: 1965 to 2005
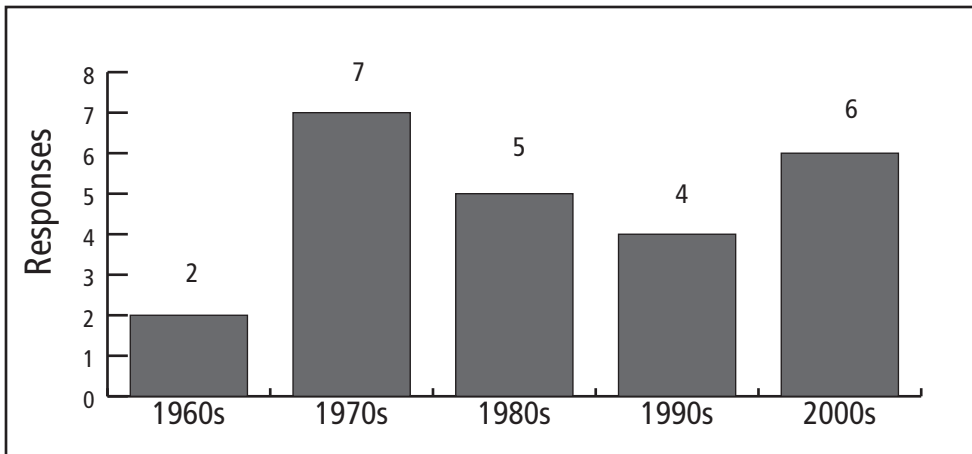


**Non-library Unit N=11**

Range: 1962 to 2007
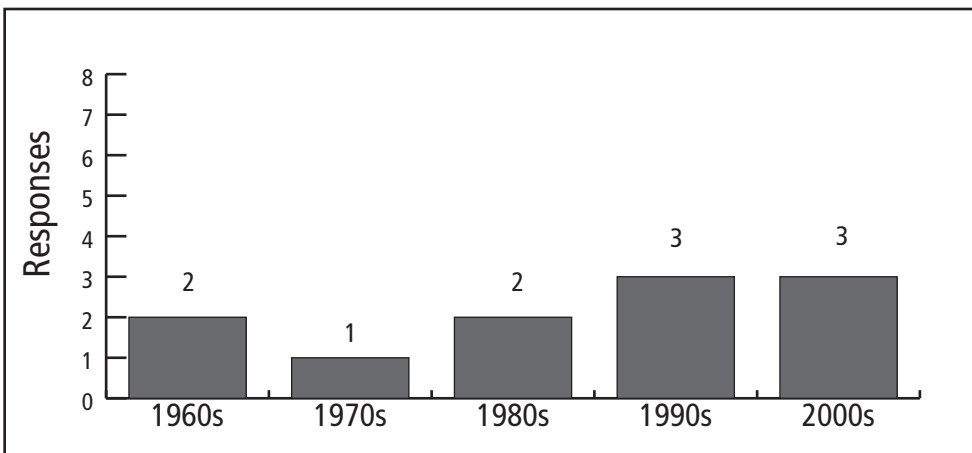
4. About what percentage of the departments in your institution participate in the records management program? N=28

**Library Unit N=21**

Range: 2% to 100%
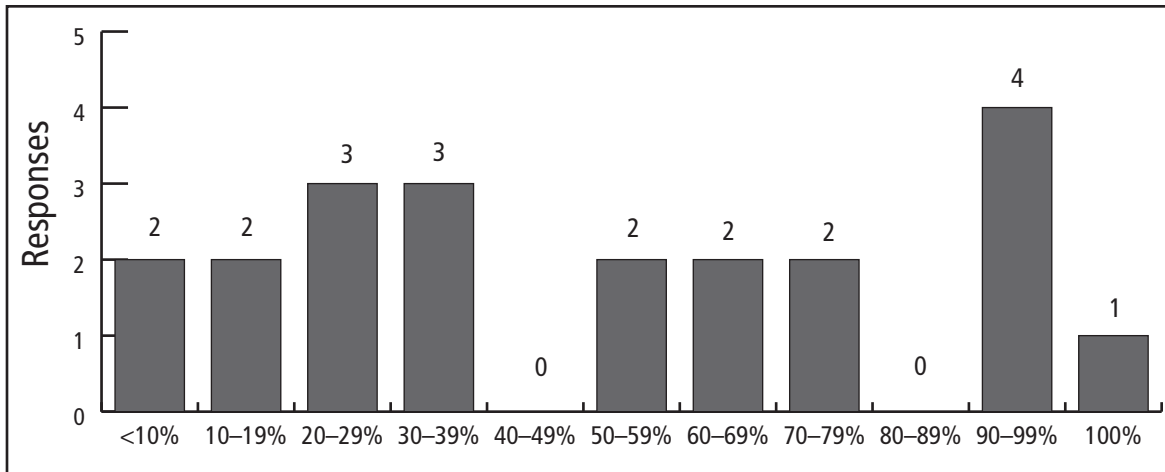


**Non-library Unit N=7**

Range: 30% to 100%
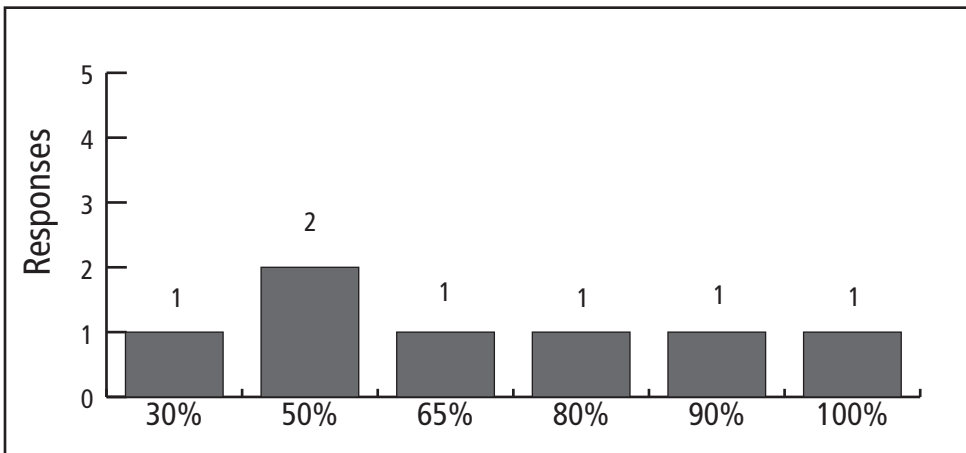


**If records management at your institution is not the responsibility of a library unit, please submit the survey now. If it is, please complete the survey.**

## STAFFING

5. Please indicate the title(s) of the staff in the library unit identified above who have responsibility for the records management program, the number of staff in each category (enter a whole number), and an estimate of the percentage of their time that is spent on records management activities (enter a whole number, e.g., 100, 50, 10). (Do not include the staff in the originating departments who are responsible for selecting and transferring appropriate documents to the program administrator.) N=25

**Professional Records Manager N=16**

**Position Title:**

"Archivist for Records Management"

"Associate Archivist/ Electronic Records Archivist" (2 positions)

"Electronic Records Archivist"

"Head, University Archives & Records Management"

"Institutional Records Analyst"

"Records Management Coordinator"

"Records Manager" (2 responses)

"Records Officer"

"University Archivist" (3 responses)

"University Records Coordinator"

"University Records Manager" (3 responses)

**Number of Individuals**

| | | | | |
|---|---|---|---|---|
| 16 | | | | |

Chart: Responses (y-axis) vs categories 1 and 2 (x-axis)
- Category 1: 15
- Category 2: 1
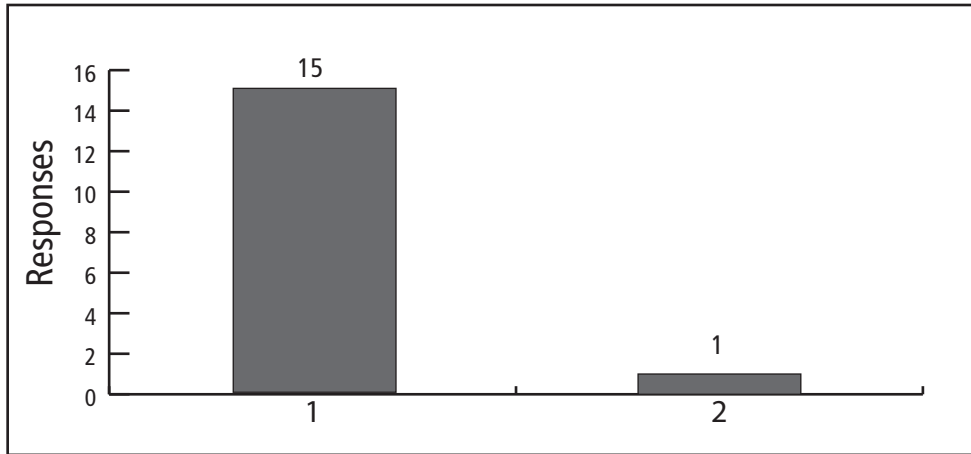
| Minimum | Maximum | Mean | Median | Std Dev |
|---------|---------|------|--------|---------|
| 1 | 2 | 1.1 | 1 | .25 |

**Percentage of Time**

Chart: Responses (y-axis) vs percentage (x-axis)
- 10%: 1
- 25%: 2
- 30%: 1
- 40%: 1
- 50%: 2
- 75%: 1
- 95%: 1
- 100%: 8
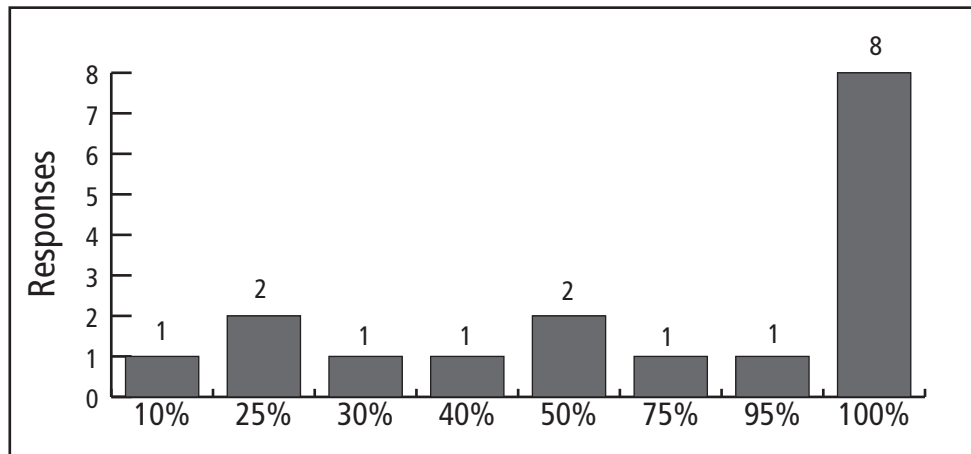
| Minimum | Maximum | Mean | Median | Std Dev |
|---------|---------|------|--------|---------|
| 10 | 100 | 70.6 | 95 | 34.27 |

**Other Professional Staff N=18**

**Position Title:**

"Archives Assistant"

"Archivist"

"Coordinator for Archives and Special Collections"

"Head of Special Collections/University Archivist and University Records Analyst"

"Head of University Archives"

"Head/University Archivist, Assistant Archivist"

"Project Assistant"

"Records Coordinator"

"Records Coordinator"

"Records Manager"

"University Archivist" (3 responses)

"University Archivist and Assistant University Archivist"

"University Archivist and Electronic Records Archivist"

"University Archivist/Director, University Archives & Records Center"

"University Historian and Archivist"

"various"

**Number of Individuals**
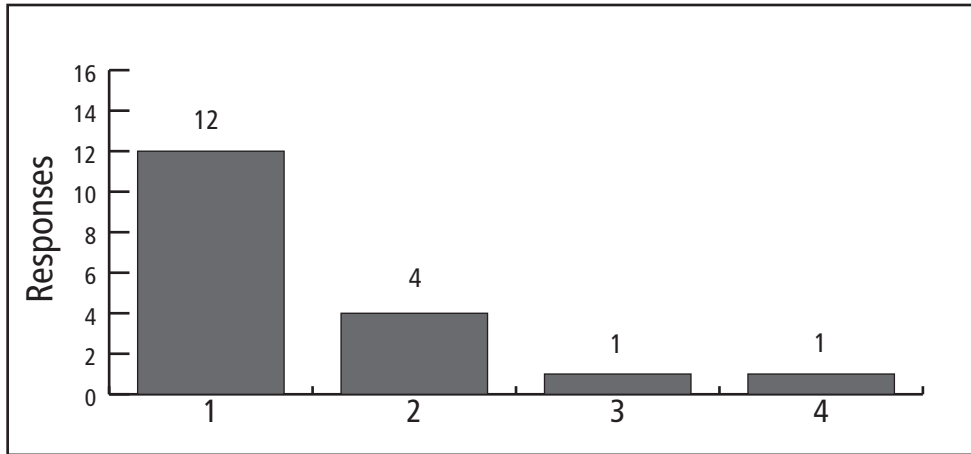


| Minimum | Maximum | Mean | Median | Std Dev |
|---------|---------|------|--------|---------|
| 1 | 4 | 1.5 | 1 | 0.86 |

**Percentage of Time**
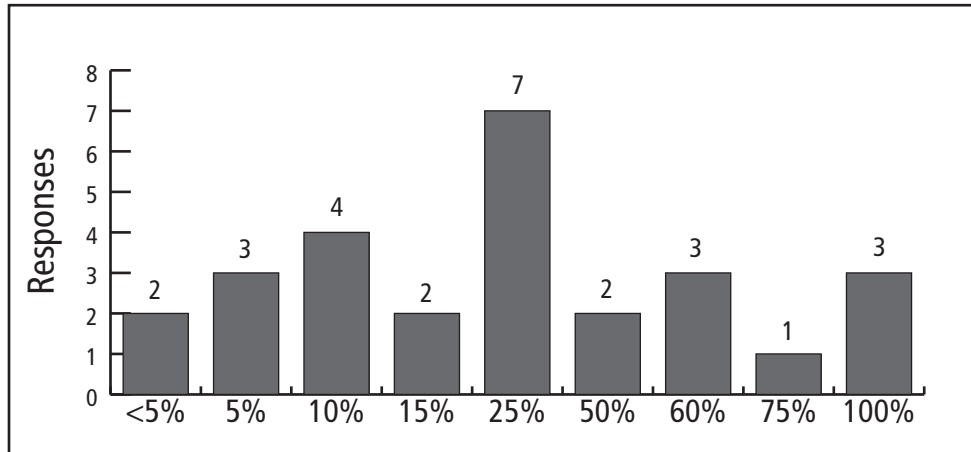


| Minimum | Maximum | Mean | Median | Std Dev |
|---------|---------|------|--------|---------|
| 1 | 100 | 37.5 | 25 | 35.53 |

**Support Staff N=12**

**Position Title:**

"Archives and Records Assistant"

"Archives Assistant" (2 responses)

"Inactive Records Center Manager"

"Institutional Records Assistant"

"Office Manager"

"Project Archivist for the University Archive/Project Archivist for the Agricultural Archive"

"Records Management Specialist"

"Records Services Assistant"

"Records Technical Assistant"

"Reference Assistants"

"Senior Library Associate"

**Number of Individuals**
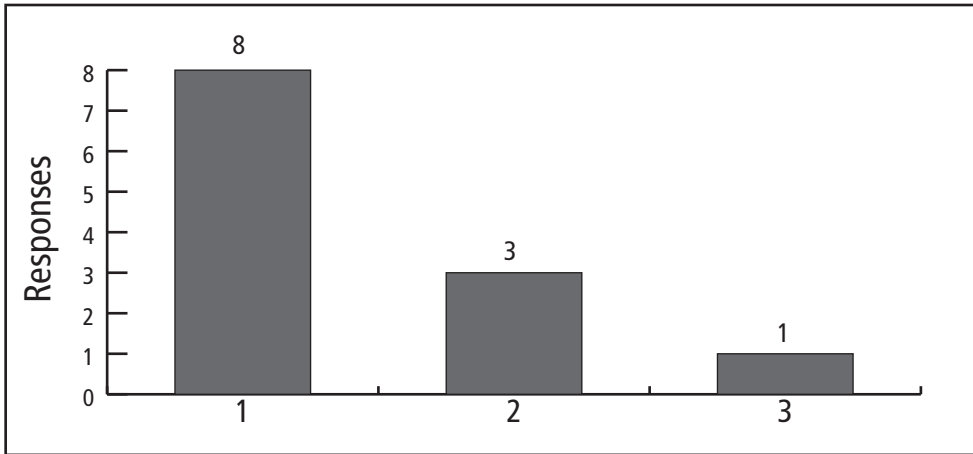


| Minimum | Maximum | Mean | Median | Std Dev |
|---------|---------|------|--------|---------|
| 1 | 3 | 1.4 | 1 | 0.67 |

**Percentage of Time**
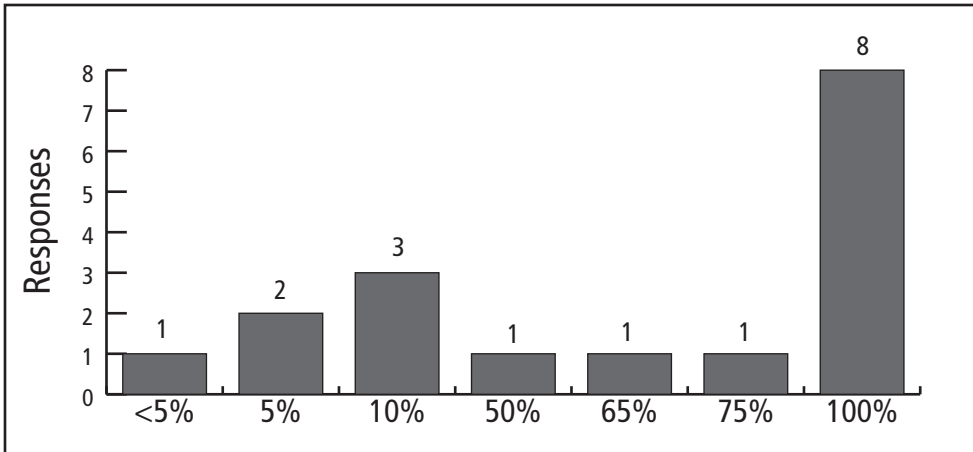


| Minimum | Maximum | Mean | Median | Std Dev |
|---------|---------|------|--------|---------|
| 1 | 100 | 60.7 | 75 | 43.43 |

**Student Assistants N=12**

**Position Title:**

"Archives and Records student assistant"

"Casual Assistants (Part-Time)"

"Graduate Assistants"

"Library Student Assistant 2"

"Student Administrative Assistant"

"Student Assistant" (4 responses)

"Student assistants/work study student assistants"

"Student Records Clerk"

**Number of Individuals**
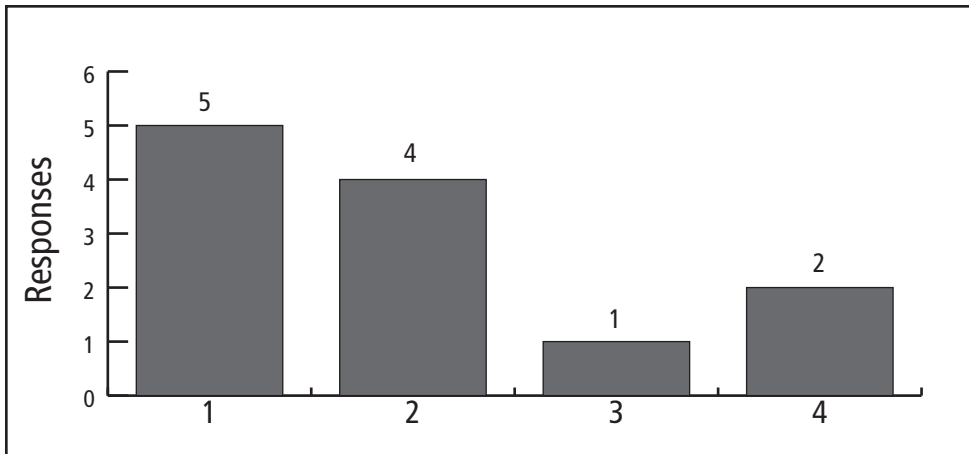


| Minimum | Maximum | Mean | Median | Std Dev |
|---------|---------|------|--------|---------|
| 1 | 4 | 2 | 2 | 1.13 |

**Percentage of Time**
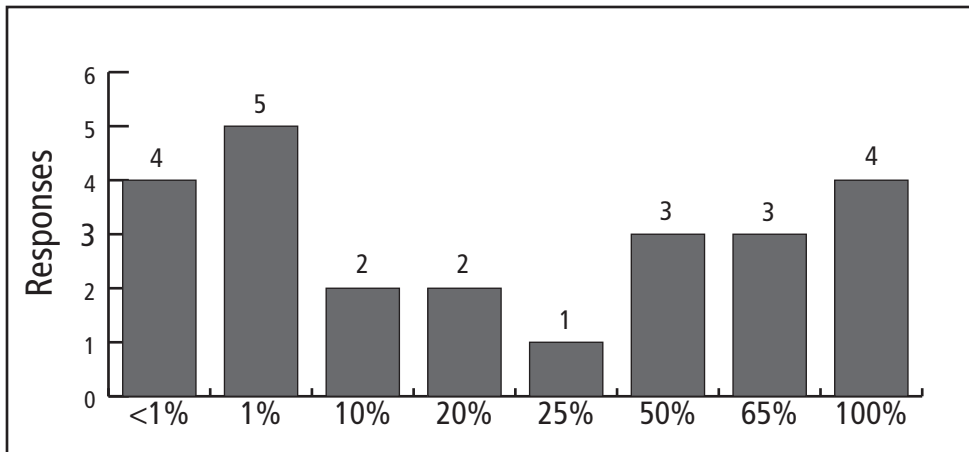


| Minimum | Maximum | Mean | Median | Std Dev |
|---------|---------|------|--------|---------|
| 0.1 | 100 | 34.8 | 20 | 37.72 |

**Other Staff N=3**

Please describe other staff.

> "Records Officer: Associate Dean of the Special Collections and Digital Programs Division (represents the university on the State Records Commission), 1%"

> "Manager, Resource Support, 25%"

> "Records Services Archivist, 75%"

6. Please identify the title of the position to which the records management program reports. N=22

> "Assistant Dean, Digital Services Unit"

> "Associate Dean for Planning and Assessment"

> "Associate Dean for Research and Access"

> "Associate University Librarian"

> "AUL Collections and Access"

> "Curator of Special Collections"

> "Director, Thomas J. Dodd Research Center/Area Head, Archives & Special Collections"

> "Head, Archives & Records Management"

> "Head, Special Collections and Archives"

> "Head, University Archives and Records Management"

> "Institute Archivist and Head of Archives"

> "Special Collections Librarian"

> "University Archivist" (9 responses)

> "University Librarian"

**Records Management Program Staffing Profiles**

| Respondent 1 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Institutional Records Analyst | 1 | 30% |
| Institutional Records Assistant | 1 | 65% |
| Student Assistants | 3 | 65% |
| **Reports to:** Curator of Special Collections | | |

| Respondent 2 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Head/University Archivist | 1 | 15% |
| Assistant Archivist | 1 | 15% |
| **Reports to:** Associate University Librarian | | |

| Respondent 3 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Records Manager | 1 | 100% |
| Student assistants/work study student assistants | 2 | 10% |
| **Reports to:** University Archivist | | |

| Respondent 4 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Records Manager | 1 | 50% |
| **Reports to:** University Archivist | | |

| Respondent 5 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Coordinator for Archives and Special Collections | 1 | 25% |
| Project Archivist for the University Archive | 1 | 100% |
| Project Archivist for the Agricultural Archive | 1 | 50% |
| Student Administrative Assistant | 1 | 25% |
| **Reports to:** Assistant Dean, Digital Services Unit | | |

| Respondent 6 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Archivist | 1 | 10% |
| **Reports to:** Director, Thomas J. Dodd Research Center/Area Head, Archives & Special Collections | | |

| Respondent 7 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Records Manager | 1 | 95% |
| University Archivist | 1 | 10% |
| Records Management Specialist | 2 | 100% |
| Student Assistant | 1 | 100% |
| **Reports to:** University Archivist | | |

| Respondent 8 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Archivist and | 1 | 25% |
| Electronic Records Archivist | 1 | 25% |
| **Reports to:** unspecified | | |

| Respondent 9 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Records Coordinator | 1 | 100% |
| University Archivist | 1 | 0.1% |
| Assistant University Archivist | 1 | 0.1% |
| Student Records Clerk | 4 | 0.1% |
| **Reports to:** University Archivist | | |

| Respondent 10 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Head, University Archives & Records Management | 5 | 10% |
| Records Manager | 1 | 100% |
| Records Technical Assistant | 1 | 100% |
| Student Assistants | 2 | 100% |
| **Reports to:** Head, University Archives and Records Management | | |

| Respondent 11 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Records Manager | 1 | 100% |
| Records Coordinator | 1 | 100% |
| **Reports to:** Head, Archives & Records Management | | |

| Respondent 12 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Archivist | 1 | 25% |
| Reports to: Special Collections Librarian | | |

| Respondent 13 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Head of Special Collections/University Archivist | 1 | 5% |
| University Records Analyst | 1 | 5% |
| Archives Assistant LA I | 1 | 1% |
| Reports to: Associate Dean for Research and Access | | |

| Respondent 14 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Archivist | 1 | 75% |
| Senior Library Associate | 1 | 75% |
| Graduate Assistants | 2 | 50% |
| Reports to: Head, Special Collections and Archives | | |

| Respondent 15 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Records Manager | 1 | 100% |
| University Archivist | 1 | 5% |
| Archives and Records Assistant | 1 | 5% |
| Archives and Records student assistant | 1 | 1% |
| Associate Dean of the Special Collections and Digital Programs Division (Records Officer) | 1 | 1% |
| Reports to: University Archivist | | |

| Respondent 16 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Archivist for Records Management | 1 | 100% |
| University Archivist/Director, University Archives & Records Center | 1 | 10% |
| Office Manager | 1 | 5% |
| Reports to: unspecified | | |

## Respondent 17

| Position title: | Number of individuals: | Percentage of time: |
|---|---|---|
| various | 3 | 60% |

**Reports to:** Institute Archivist and Head of Archives

## Respondent 18

| Position title: | Number of individuals: | Percentage of time: |
|---|---|---|
| Associate Archivist/ Electronic Records Archivist | 2 | 125% |
| Archives Assistant | 1 | 100% |
| Reference Assistants | 2 | 100% |
| Student assistants | 4 | 1% |

**Reports to:** University Archivist

## Respondent 19

| Position title: | Number of individuals: | Percentage of time: |
|---|---|---|
| Electronic Records Archivist | 1 | 50% |
| University Historian and Archivist | 1 | 10% |
| Library Student Assistant 2 | 1 | 100% |

**Reports to:** AUL Collections and Access

## Respondent 20

| Position title: | Number of individuals: | Percentage of time: |
|---|---|---|
| Records Coordinator | 1 | 75% |
| Inactive Records Center Manager | 1 | 100% |

**Reports to:** University Archivist

## Respondent 21

| Position title: | Number of individuals: | Percentage of time: |
|---|---|---|
| Records Management Coordinator | 1 | 100% |

**Reports to:** University Archivist

| Respondent 22 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| University Archivist | 1 | 40% |
| Archivist | 4 | 25% |
| Records Services Assistant | 1 | 100% |
| Casual Assistants (Part-Time) | 2 | 20% |
| Manager, Resource Support | 1 | 25% |
| **Reports to:** University Librarian | | |

| Respondent 23 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Records Officer | 1 | 100% |
| Project assistant | 1 | 50% |
| **Reports to:** University Archivist | | |

| Respondent 24 | | |
|---|---|---|
| Position title: | Number of individuals: | Percentage of time: |
| Head of University Archives | 1 | 50% |
| Archives Assistant | 3 | 10% |
| Records Services Archivist | 1 | 75% |
| **Reports to:** unspecified | | |

## BUDGET

7.  Is there a separate budget designated for the records management program? N=25

| | | |
|---|---|---|
| **Yes, there is a separate, designated budget** | 4 | 16% |
| **No, it is covered by a general operating budget** | 21 | 84% |

If yes, is it part of the administering unit's budget, part of the broader institution's budget, or part of both budgets?

| | | |
|---|---|---|
| Part of the administering unit's budget | 1 | 25% |
| Part of the broader institution's budget | 1 | 25% |
| Part of both budgets | 2 | 50% |

## Selected Comments from Respondents

**Yes**

"There is a designated portion of the institution's budget which is then allocated to the library to fund the outsourced storage. These funds are then recovered by billing the participating departments for services provided by the vendor."

**No**

"Head of Special Collections and University Archives works with the Assistant Director, Asset Management in the Budget and Asset Management office to comply with the state requirements. Each position's salary is covered within that department's budget."

"It is part of the University Library's budget, but within that budget there is a separate fund designated for document destruction services."

8. **Are the costs of the records management program covered totally by the budget or are there also charges for services? N=25**

| | | |
|---|---|---|
| Costs are covered totally by the budget | 18 | 72% |
| There are also charges for services | 2 | 8% |
| Other, please explain | 5 | 20% |

"All expenses are covered by each department."

"Each campus unit is responsible for their non-current records storage and must cover those costs — only records scheduled as permanent are transferred to the Archives. We cover those costs."

"Most of our costs are covered by the budget. We occasionally receive money from the University to fund destruction. We also have recently implemented a surcharge for boxes."

"Only outsourced storage is covered by this budget. Departments may purchase boxes from Archives & Special Collections/Dodd Research Center (ASC/DRC). All other activity (limited though they may be) costs are absorbed by ASC/DRC (mostly staff time)."

"Operational costs are covered by the budget. There are also charges for services. Advice/consultation and education on records management is provided free of charge. Extensive consultation and/or office projects are subject to charges for services."

If there are charges for services, please briefly describe them. If there is a document that more completely describes the charges, please submit it in the Call for Documents at the end of the survey.

"[This answer only applies to the University Archives.] Pickup of archival records from offices: 1–4 boxes $25, 5–9 boxes $50, 10–50 boxes $75, more than 50 boxes requires paying outside moving vendors. Charge for archival boxes: $4.65 per box. If offices are unable to re-box and inventory inactive records being transferred to the archives, they must pay for staff to do this work. Additional records management services are only available as University Archives staff time permits (no budget for such services). Many offices utilize outside vendors for paper records storage and confidential shredding at their own cost. Some offices have implemented electronic document management applications at their own cost."

"Campus units are responsible for transporting materials to the records center and for purchasing their own boxes. In rare cases where a department has accumulated records that would consume too much of our annual destruction budget, we have had the department pay for the destruction charge, but have arranged services for them at our negotiated price."

"Fee for service: $45.00 per hour."

"Storage per Year, Retrieval  Shredding/Destruction, HIPAA-Related Requests."

"The RIM program does not charge for services provided, however units are required to use preferred vendors and incurred charges for those services are paid by units. For example, units are required to store records in a commercial records facility and to use secure shredding services for destruction. Both of these services have negotiated services charges that the units are responsible for. The RIM program has applied for and received special funding to implement training workshops. Also, special funding was received to assist units relocating in establishing good RIM practices."

"The surcharge for boxes is to help fund the use of our van. We use the van for transportation to our offsite facility, picking up boxes, and delivery of materials being checked-out."

"There is no charge billed directly from the Records Program because this offsite storage facilitation is part of the Records Manager job responsibilities. There is a storage fee charged by the private offsite storage company, and this is funded by each college or department that requires offsite storage. The charges cover the pulling of the box or folder from the storage shelf, the pick up or deliver, and the replacing of the item on the shelf. The price for handling a file folder in comparison to a box is additional. Storage costs for the university are funded by each college or department using the facility, and this expenditure is included in the university's general operating budget."

## RECORDS MANAGEMENT SERVICES

9. What types of records does the program manage? Check all that apply. N=25

| | | |
|---|---|---|
| Text (eye-readable) | 25 | 100% |
| Graphic materials (eye-readable pictures, drawings, maps, photographs, architectural plans, etc.) | 22 | 88% |
| Audio-visual materials (sound recordings, film, etc.; requires a device other than a computer to access) | 19 | 76% |
| Electronic records (medium that requires a computer to access) | 18 | 72% |
| Other format, please describe | 3 | 12% |

"Artifacts of the University (some are part of University records collection)."

"Electronic records are usually only acquired by the Electronic Records Program if they are permanent. We do have legacy accessions of floppy discs from departments that contain non-permanent material that we are addressing."

"Rarely there are three-dimensional objects or artifacts."

10. Who provides the records management services listed below? Check all that apply. N=25

| Service | RM Program | Other | Not Offered |
|---|---|---|---|
| Prepares policy and procedure documents | 22 | 3 | 3 |
| Trains originating department staff in proper records management procedures | 22 | 1 | 3 |
| Transfers permanent records to archives | 19 | 9 | — |
| Prepares records retention schedule | 17 | 11 | 1 |
| Picks up materials from originating department | 14 | 10 | 3 |
| Stores text records | 14 | 11 | 3 |
| Retrieves records from storage | 14 | 10 | 4 |
| Prepares content lists | 13 | 14 | 4 |
| Stores graphic materials | 13 | 9 | 4 |
| Answers reference questions from records in storage | 13 | 8 | 6 |
| Stores audio-visual materials | 12 | 8 | 6 |
| Destroys records at the end of their retention period | 10 | 15 | 6 |
| Delivers retrieved records to originating department | 9 | 12 | 7 |
| Discards records at the end of their retention period | 8 | 7 | 13 |
| Converts permanent records to preservation format | 8 | 10 | 9 |
| Refreshes the format of permanent records | 8 | 6 | 11 |
| Stores other record formats | 7 | 11 | 8 |
| Stores electronic records | 5 | 16 | 8 |
| Other | 3 | 2 | 6 |

If someone other than records management staff provides a service above, please describe who that is along with the service they provide. If you checked "Other service(s)" above, please describe the service(s) and who provides it.

"The list of services above is almost exclusively devoted to records storage. A records management program includes many other aspects of records and information management. For example, our program depends heavily on campus offices to implement records management policies and procedures, so we provide a significant training and education program as part of the services we offer. Development of files classification and file plans, recommendations on storage media, records analysis and appraisal, and others."

"A records management vendor is contracted to supply secure destruction services. The Office of Information Technology is principally responsible for the governance of electronic records."

"All of the services described above are performed by other staff (not records management program staff). Some records management work is undertaken by the University Archives (with an emphasis on records of long term historical value). Finance and Administration is involved in policy development. Procurement deals with outside vendors, including off-site storage. Central IT supports computer applications."

"Although the records manager coordinates the destruction of material as appropriate, the actual shredding is done by an outside vendor. The Archives staff works with Physical Plant to transport and store materials."

"[The university] follows State Archives of Colorado retention schedule for Higher Education (Schedule 8) for records retention periods. Some born digital University Records are currently housed in Libraries new Institutional Repository. Current VP for Administration's office is responsible for retention of financial and personnel records."

"Each department using optical imaging is responsible for maintaining these files. Each department is responsible for destruction of records at the end of their life cycle once official permission is received from the state. Each department is responsible to send to the Archives permanent records."

"[The university] has contracted with a commercial offsite storage vendor to house its inactive records which includes text, audio-visual, electronic, and other media until their retention has been met. In some incidents active records are sent to this particular vendor due to lack of in-house active filing space. The IT and Preservation departments are involved with assisting units with electronic records. The Office of General Counsel and Office of Research Compliance assist with policies as needed. University Archives assists with transfers of permanent records as well as with decisions on how to best manage them."

"In all cases, the 'other' refers to staff from the originating department."

"Individual campus units: storing, converting. The University Archives is responsible for the acquisition, appraisal, management, and disposition of Archival records (permanent records/archives)."

"Information Technology Services stores Electronic Records for RM Program; Courier Services retrieves and delivers records from originating offices."

"Other university departments and outside vendors."

"Our records management services are limited to records retention scheduling. We do not store or manage records that are not of continuing value. Departments have responsibility for storing records not designated for the Archives. The university does not have an official records center."

"Permanent records are handled by archivist responsible for collections."

"Records Management functions are currently shared between the University Archivist and Surplus Property, University Services. Surplus provides transportation and storage services while Archives provides consulting in appraisal and records scheduling. Any detailed inventory work or storage of electronic records is handled by the originating office. Records destruction is outsourced to our paper recycling vendor."

"Records retention schedule: this is created at the university system level and overseen and put into state rule by the Oregon State Archives. Facilities picks up the records that are headed for non-permanent storage. Units prepare their own contents lists for review by the Electronic Records Program before we accept records into storage."

"Retention schedules are created by the State Library, although the University Archivist has submitted a schedule specifically for Higher Education that is under consideration. Any transfer and listing of materials is the responsibility of the originating office. University Archivist coordinates pick up/retrieval/delivery of materials placed with vendor only. If office opts to store with University service, the office handles this

activity. University Archives only accepts permanent records into the Dodd Research Center. University Archivist coordinates activities with offices regarding non-permanent materials."

"The Records Manager creates new record series and submits deletions of or additions and changes to an existing record series to the State Public Records Division which in turn submits this information to the State Records Commission. This Commission approves all changes to the State University Records Retention Schedule which the State Legislative Research Commission promulgates the Administrative Regulation that incorporates retention schedules by reference. Then the Records Manager inserts this information into the university version of the State Schedule. On the subject of policy and procedures, the Records Manager has some leverage when it applies to internal policy and procedures but the state record laws, State Records Commission, and the university administration determine the university's records policy. The Records Manager provides campus records management presentations, site visits, online guidance, and personal tutorials. The Records Program collaborates with the Human Resources Department to provide all new employees a basic records management presentation and hand-out. The Records Program also collaborates with the Legal Office to provide through Human Resources a workshop concerning records with an emphasis on electronic records. Both the pick up and retrieval from a private offsite storage facility is handled by the Records Manager (new transfers) and the office liaison (old transfers). The pick up of historical University Archives materials stored onsite is handled by the University Archivist, and the Records Manager handles the storage of the non-permanent records which haven't reached their retention. A file folder title inventory is required for the transfer of permanent or non-permanent records to either the University Archives onsite storage or the offsite storage facility. The inventory is provided by the originating department. The offsite storage facility is a private company contracted with the Purchasing Department and approved by the Library Department. The Records Program negotiates between the company and the campus offices when lack of space facilitates the use of this storage. The University Archives and Records Program (UARP) stores onsite 50% of the text records and 100% of the graphic and audio-visual materials related to the university's history. The Kentucky Digital Library is state funded but the office is located and the Director is part of the Special Collections and Digital Programs (SCDP). This digital library stores the electronic databases for all of the UARP online inventories. The Information Technology (IT) Department maintains the servers for the university, the e-mail system, and the campus-wide access to the university Web pages. Each department or college has a designated IT representative to change and maintain the Web pages. The University Archivist, the Archives and Records Assistant, and the SCDP reference personnel answer the reference questions which include the use of collections onsite and offsite. The Records Manager is a backup for historical reference, and answers queries based on the university's records. The non-permanent records aren't accessioned into the University Archives but are stored offsite via the originating office's funds. The discarding of records isn't a policy at the university but state sanctioned destruction is a daily occurrence. The university contracts with a recycling company to pick up the locked bins and shred the paper contents, thus both the originating offices and the Records Program destroy records when they meet their retention period. When the non-permanent records stored offsite have reached their retention, the Records Manager contacts the office that the records can be destroyed via the approved destruction procedures and the use of the state records destruction certificate. The Preservation Reformatting Center which is located in SCDP migrates permanent records to a preservation format. The Records Manager transfers the text records such as the student newspaper, catalogue/bulletin, yearbook, and the Board of Trustees meeting minutes to the Center for microfilming. The University Archivist oversees the students who refresh the format of permanent records, and mostly that constitutes the housing in archival containers and arranging in series within a finding aid. The Records Manager houses the

publications, general reference files, Board of Trustees meeting minutes, and other permanent university records."

"The University does not have a records retention center. Departments must maintain their own records until the records are ready for final disposition (transfer to archives or destruction). The individual departments are responsible for their own records storage. It is their responsibility to follow the records retention policies and schedules. They take care of the final destruction of their records and contact the University Archives when they are ready to transfer their permanent records."

"The University Office of Information Technology and individual departments provide storage for electronic records."

"Transportation of materials to records center may be done by department or by work order submitted to physical plant services (for which there is a charge). Contents lists are prepared by many originating units, though we also prepare lists for materials scheduled for permanent retention. We answer some reference questions for originating units, but questions submitted by the public through the open records law are usually answered by the originating unit after they retrieve the records stored with us. While we arrange and document destruction, the actual destruction is contracted to a bonded destruction service."

"University Counsel prepares the Records Retention Schedules."

"We have a facility at the university that stores inactive, non-permanent records for a fee. The facility is not a part of the libraries nor is library staff involved in administering this service. Records analysis and consulting services. Quarterly newsletter and monthly updates."

11. At what level and by whom are content lists made? Check all that apply. N=25

| Level | Originating Department Staff | RM Program Staff | N |
|---|---|---|---|
| Item | 9 | 5 | 12 |
| Folder | 20 | 11 | 22 |
| Box | 20 | 12 | 23 |
| Other level | 3 | 3 | 4 |

Please describe other level.

"RM staff documents at the accession level, along the same lines used by archives. A descriptive title, capture dates, unique accession number and records group classification are all added to collections that eventually will be transferred to archives."

"Series level descriptors provided as part of transfer process in some cases."

"If any lists are made, the originating office creates them. Vended storage allows transfer/retrieval/pick up at box level only."

"Each department makes content lists for their own records. Each maintains its own record keeping system and levels vary from department to department."

"RM program staff does this for archival collections only. Originating department staff does it for active and inactive, non-permanent records."

"Electronic records: document level, data fields in databases, etc."

"Box level lists are required from the departments; the level of a list (item, folder, and/or box) depends on the quantity and type of material for each set of records."

## POLICY DECISIONS

12. Please briefly describe who is responsible/involved in making policy decisions such as approving records retention schedules, who may use records, how records are discarded or destroyed, etc. N=25

"Archives facilitates review and approval of proposed records schedules by university offices and the state records management office, which has legal authority to approve or deny proposed schedules. Policy and procedure for transportation, storage, and destruction is maintained by the University Archivist and Surplus Property staff. Only originating office may request records from the storage facility."

"By university rule the Archivist is responsible for the program and he signs final approval for all retention schedules. Schedules are also approved by the records officer in each department. Records may only be disposed according to approved retention schedules and a certificate of records disposal is required for all records whether discarded, destroyed, or archived. The program is administered by the University Records Manager who is a staff member of the Archives and Rare Books Library with archival responsibilities as well. Policies and procedures are developed by the Archivist and the Records Manager with final approval by the Archivist. The university uses a retention matrix developed by the Inter-University Council of Ohio to determine legal minimum retention periods for schedules. The matrix is used by all public colleges and universities in Ohio."

"High level policy decisions, as well as approval of records retention schedules, are made by the President's Advisory Committee on University Records and Archives. Most others are made by the University Archivist (mostly of an operational nature)."

"Policy is under development. Approval of retention schedules rests with the University Archivist, in consultation with University Legal Counsel and with input/professional consideration by the University Record Manager."

"Policy recommendations including records schedules are developed by the records officer and endorsed/approved by the Campus Records Review Group which includes representation from legal services, internal audit, archives, hospital and clinics, CIO, graduate school, enrollment services, provost's office."

"Records Management Advisory Committee makes policy decisions. RMAC consists of representatives from the following offices: Physical Plant, Human Resources, Registrar, Research Operations, Provost, Auditing,

Risk Management, Privacy Manager, President, Administrative Information Services, Systems and Procedures, and Faculty Senate."

"Records Management Committee."

"Records Management Committee for the entire campus. Institute Archivist, Designee of Institute president, Head of Office creating records."

"Retention Schedule Process: RRS are developed at the general level not at the unit level. 1. RIM speaks with unit about their records. In conjunction with the unit develops a generic description(s) of the record series which other units may apply to their records. Discuss administrative retention requirements. 2. RIM drafts record series then performs legal research (CFR, state code, other like institutions, professional association, case law, etc) for retention requirements. 3. Seeks unit's approval on record series description and retention. 4. Sends record series description and retention requirement to Office of the General Counsel and University Archivist for approval. 5. RIM makes any changes as suggested by above offices then publishes record series. Record Accessibility: 1. Units who need to use the content of the record. 2. Units who need to assist others using the content of the record. Record Disposition, based on the content of the record: 1. Paper a. non-confidential records may be placed in recycling containers, which are sent to a third party recycling company; b. confidential records are shredding beyond recognition as per federal regulations then sent to a third party recycling company. 2. Electronic a. servers — IT is asked to erase data so it cannot be retrieved; b. portable devices (lap tops, blackberries, CDs, etc.) — IT is asked to erase data so it cannot be retrieved; c. desktop — IT is asked to erase data so it cannot be retrieved."

"Since 1995, the University Archives has been responsible for making policies, updating records retention schedules, and training of departments."

"State Archives of Colorado has issued retention schedules for all institutions of higher learning within state which we follow. In addition, we are working to create a more systematic retention program on campus through outreach activities, workshops, etc. We provide access to stored records to administrative offices/ offices of origin. We also provide access to records that are not confidential in nature or closed to researchers, upon request. A temporary Project Archivist was hired in 2007 to assist in records management outreach, transfer, and surveying activities."

"State university system schools in the state of Georgia adhere to a functional records retention schedule developed by the university system's governing body, the Board of Regents. Retention and disposition decisions are based on these guidelines and on standard records management practices. Records management and archives staff develop policies and procedures associated with the records management program and the use of the records center storage facility."

"The Electronic Records Archivist is responsible for conveying and training campus employees on records management policies that are in statute or administrative rule (these rules are developed and enacted by the Oregon State Archives). In addition to statewide policies, campus-wide policies are developed by the Electronic Records Archivist (in conjunction with relevant stakeholders)."

"The Institutional Records Analyst, head of originating office, and university attorney."

"The State Library creates and updates retention schedules affecting records at the university. Every state agency must designate a Records Management Liaison Officer; here that individual is the University Archivist.

The University Archivist is the mediator between the schedules established by the state and the originating offices."

"The state record commission is responsible for approving record retention schedules. The Budget and Assess Management Office makes recommendations to the state commission for additions and changes in the retention schedule. As a public institution our records are available to the public. Destroyed records with privacy issues are either shredded by cross cut shredders or pulped. Both must be witnessed. In departments with large volumes of records, an outside vendor is used and they must document the destruction."

"The University Archivist is identified in the university's policies as the custodian of university records. The state sets records retention schedules. Otherwise, the Archivist for Records Management develops schedules in consultation with the University Archivist. The Archivist for Records Management can propose changes to the state schedules and submit them to the Kentucky Department of Libraries and Archives. Policies for access to records are approved by the University Archivist in consultation with the Archives staff and if needed, legal counsel. The University Archivist also evaluates access related to FERPA, HIPPA, open records law etc. The Archivist for Records Management determines the methodology for destroying and discarding records."

"The University Archivist prepares the record schedule which outlines the retention period and the disposition method. The record schedule is then approved by the Illinois State Records Commission."

"University Archives has proposed general functional records retention schedules. Finance and Administration has created a schedule for financial records. IRB office has created a schedule for human subjects research records. General Counsel usually approves all policies."

"University Archivist approves schedules and reviews certificates of destruction."

"University Counsel and the University Archivist jointly rule on records destruction. The University Archivist makes permanent retention decisions on non-legal records, while the University Counsel decides on legal records."

"University-wide policy committees; University Archives, policies and procedures; Individual unit, procedures."

"We create primarily general schedules that cover broad areas (such as student life). The appropriate dean or vice president approves the schedule together with the University Archivist."

"We use a statewide online schedule developed and maintained by a team of records experts and legal counsel from the State Board of Regents and the State Archives. While materials are classed as 'records,' access to them must be approved by the originating office.  Our state has strong open records laws. In cases where records may be protected (FERPA, HIPPA, GLB) there is a campus open records office to consider access issues, in consultation with legal services, when necessary. The destruction date for a document shipment is determined when it is placed with the records center and is entered into our database (as well as being marked on the box label). When the time is reached for destruction, the records center seeks approval from the originating unit, in case there has been some development, such as a court order, which trumps our retention schedule."

"While evaluating records at an onsite visit or discussing the destruction of campus records, sometimes the records manager sees a need for an addition, deletion, or change to the State University Records Retention Schedule. The Records Manager is a member of the State Records Advisory committee which meets to discuss the University Model Schedule. The new record series and their retentions are discussed as applicable to all

of the state public universities. A records description and analysis form is completed in order to create a new record series or to submit deletions or additions to an existing record series. These forms are used by the State Public Records Division to present this information to the State Records Commission. This Commission approves all changes to the State University Records Retention Schedule which is then promulgated by the State Legislative Research Commission. Then the Records Manager inserts this information into the university version of the State Schedule.  On the subject of policy and procedures, the Records Manager has some leverage when it applies to internal policy and procedures but the state laws, State Records Commission, university business procedures, and the University Archivist and Records Officer determine most of this matter. Per the Kentucky Open Records Law, the university records are generally open to the public. Some restrictions are adhered to such as confidential information including social security numbers, patient information, student transcripts, and other records which legally are restricted for use. As previously addressed, the university contracts with a private recycling/shredding company to retrieve from each campus office the locked bins on a weekly basis."

## RECORDS STORAGE

### 13.  Where are physical records stored? N=25

"A portion of the Libraries' remote storage facility is caged for secure storage of records. This large facility provides room for three stories of industrial shelving for records storage."

"Archival records are stored in the Archives. Active records are stored in the owning departments. Inactive records are stored in owning departments, central storage (not controlled by the Archives) or offsite vendor storage."

"At an off-site records storage facility owned by the university."

"Determinations about physical storage are made by the creating departments, but predominantly off site storage is through the State Records Center, a service entity of the state Department of Administration."

"In individual unit offices or off-site. There is no semi-active records storage offered."

"Inactive Records Center and/or University Archives depending on retention period."

"Library storage, onsite storage, off-site warehouse."

"Off campus."

"Offsite storage, offices, hallways, file rooms, etc."

"On campus or offsite (if office participates in vended services)."

"On-site storage facility."

"Part of the new Archives and Research Collections Centre high density storage module has been designated as our semi-active records centre. It is located adjacent to the library."

"Permanent records are stored in the University Archives and Records Center's space in the main library. Non-permanent records are held in two on-campus warehouses."

"Permanent records of historical and of vital nature are stored in the Archives, branch of Special Collections. Published materials from the University are housed in Special Collections. The remaining permanent records and all of the temporary records are stored in our offsite records facility."

"Physical records are stored at two library locations: up-campus within Morgan Library (Archives department) and down-campus at our Archives Annex."

"Physical records are stored in the originating departments."

"Records are housed in a records center warehouse with climate control, restricted access, fire suppression, and a monitored alarm system."

"Records of continuing value are stored in the University Archives, which is part of our book depository."

"Records of permanent historic value are stored in library facilities. Campus units are responsible for storing records whose eventual disposition is destruction. They are typically stored on campus, although some units rent space from vendors."

"Special Collections and Archives, a department of Libraries and Media Services."

"Storage is distributed between office file rooms; outside vendor off-site storage; and the University Archives centrally-controlled off-site storage for inactive and archival records."

"Surplus Property Warehouse."

"The physical records are stored in two locations onsite. Records which apply to general reference collections such as yearbooks, catalogues, biographical files, and other ready reference items are stored within the UARP space. The other onsite location is in close proximity to the UARP building. This storage space is equipped with a security system, a temperature/humidity controlled environment, and constructed of fire resistant concrete blocks. Only permanent and/or historical collections are stored in this area. The third area that the physical records are stored is at a private offsite storage facility which is located 15 miles from the university."

"University Archives and off site storage."

"We do not offer storage for non-permanent records; campus offices contract directly with storage vendors."

## Where are electronic records stored? N=23

"Administrative Information Systems under the curatorship of University Archives."

"At the unit."

"Certain servers."

"Currently, enterprise wide records, e.g., student information database, are stored by IT. However, electronic records of colleges and departments are stored in no centralized manner."

"Departments and off site storage."

"Electronic record storage here is still the responsibility of individual units and their IT managers. We have worked on proposals for an institutional repository that would store published archival electronic items, but it has not yet come into existence. There is still no approach to central archiving of other electronic records such as e-mail, beyond the recommendation to print and file materials covered by the retention schedule."

"Electronic records are stored in originating departments and on University servers."

"In active enterprise systems."

"In office (above) or off-site."

"In the original unit."

"Information Services, another university department."

"Library servers (e.g., DSpace), CIT and unit servers, desktop machines."

"Permanent electronic records are stored on a secure server in the library (and backed up offsite)."

"Same as above. Archival records are stored in the Archives. Active records are stored in the owning departments. Inactive records are stored in owning departments, central storage (not controlled by the Archives) or offsite vendor storage."

"Same as above. We do not offer storage for non-permanent records; campus offices contract directly with storage vendors. The campus Office of Technology offers some storage."

"Servers, laptops, Blackberries, desktops, CDs, diskettes, etc."

"Storage is widely distributed between individual desktops; shared departmental file servers; and large electronic recordkeeping systems. There is central University Archives storage for archival records."

"The Office of Information Technology recommends transfer of sensitive data to secure department file servers; enterprise-wide systems are governed by Office of Information Technology data security policies."

"The small amount in our custody and control is stored in the same location (part of the new Archives and Research Collections Centre high density storage module)."

"The University Archives and Records Program's electronic records are stored on the university server space allotted to the Library Department, and on the online Kentucky Digital Library. The KDL is a state funded library whose director is part of the Library Department's faculty. It has enhanced public access to the UARP collection finding aids especially with the word searchable feature."

"University Office of Information Technology and individual departments on campus."

"Varies. Some at State Records Center. No centralized storage exists."

"We are starting to house some of our University records in our Institutional Repository."

14. How many records are currently in storage? N=15

### Text

| | |
|---|---|
| 7,000 | boxes |
| 9,500 | boxes |
| ca. 13,500 | boxes |
| 1,500 | cubic feet |
| 4,500 | cubic feet |
| 6,000 | cubic feet |
| 11,000 | cubic feet |
| 15,000 | cubic feet |
| 15,000 | cubic feet |
| 24,400 | cubic feet |
| 26,000 | cubic feet |
| 27,000 | cubic feet |
| 4,971 | linear feet |
| 5,400 | linear feet |
| 17,100 | linear feet |

### Graphic Materials

| | |
|---|---|
| 500 | blueprints |
| 100 | boxes |
| 250 | cubic feet |
| 500 | cubic feet |
| 1,250 | items |
| ca. 1,500 | items |
| 74,555 | items |
| ca. 500,200 | items |
| Millions of | items |
| 31.25 | linear feet |

### Audio-visual Materials

| | |
|---|---|
| 20 | boxes |
| 250 | cubic feet |
| 250 | cubic feet |
| 1,000 | cubic feet |
| ca. 25 | items |
| ca. 150 | items |
| 12,940 | items |
| 1.5 million | items |
| 190 | linear feet |
| 600 | microfilm |

Electronic Records

| | |
|---|---|
| 150 | disks |
| 76 | gigabyte |
| ca. 100 | items |
| 263 | items |
| 1.25 | linear feet |

## Selected Comments from Respondents

"Additional materials may be stored in a University sponsored facility but that is handled by the offices. I only coordinate those materials stored with a vendor. Offices have made alternative arrangements to store materials in other university buildings, but that is discouraged."

"As this question seems to deal with active/inactive records rather than archival records I can not answer accurately as we have no way to track where departments are storing such records. The University Archives contains more than 8,000 standard records cartons of permanent records."

"Cubic feet is estimate based on box count. Boxes are chiefly bankers boxes, with a smattering of transfer cases and document boxes included — we believe the smaller bankers boxes and larger transfer cases roughly balance out, so we have used the banker box for our calculations. Graphic materials consist of oversize parcels containing production materials for our university press and map tubes containing recent architectural materials. We probably have an unusually high number of 'records' that other facilities would have long ago transferred to archives. These collections were commingled for so long due to lack of space and precipitous moves in the face of construction that it is difficult to guess when a true number of records vs. archives can be calculated. If adequate housing can be constructed for archival collections, as we hope will happen in the next few years, serious separation of collections can begin and we will have a more precise number."

"I can't respond because Surplus Property manages the warehouse."

"No semi-active records are retained — only permanent archival records are retained."

"Storage is much too distributed to report extent."

"The 76 gigabyte figure represents all UARP's folders located on the Library Department's server space. These folders include documents used to operate the UARP unit. Some of the finding aids are also located on the Kentucky Digital Library (KDL) Web site but weren't counted again. The University Archives and Records Program Web pages calculate 130 kilobytes, and aren't included in the 76 gigabytes of electronic records listed. The offsite storage folders which contain the order forms, calculations of customer use, inventories of records sent to the offsite storage facility, and other pertinent files related to the offsite storage operation and destruction amount to 198 megabytes of electronic records. A total of 11,000 cubic feet of text records is stored either onsite or offsite for the University Archives and Records Program. 5,500 cubic feet of this total are stored at the offsite storage facility."

"The University Archives holds approx 6,000 linear feet of historic records. We have no estimate of non-historic records in storage around the university."

"University Archives and Special Collections share the same facilities and are not currently counted separately."

"University Archives does not know the numbers of what is stored. A comprehensive survey of the entire campus would have to be done to find these numbers."

"We do not have an in-house records center nor does the RIM program manage the records of individual units. Advice is given on storing records and student services are available to assist units with the boxing and inventorying of records being sent to off-site storage. Our preferred vendor for off-site storage has provided the total number of containers in storage, 221,900. This number can be broken down into two categories: University, 75,227 and Healthcare, 146,673. Your question cannot be answer at the level you are requesting as our vendor does not keep information at that level nor do we require them to do so."

"We do not keep statistics by storage media. If by text you mean hard copy (text can be electronic as well), the University has approximately 45,000 cubic feet of paper records on deposit at the State Records Center that is managed by the records management program."

## RECORDS MANAGEMENT SYSTEM

15. How are accessions, inventories, check outs, etc. managed? N=22

| | | |
|---|---|---|
| Both paper and electronic systems are used | 19 | 86% |
| Electronic management system | 3 | 14% |
| Paper-based system | 0 | — |

If an electronic management system is used, is it a homegrown or commercial system? N=22

| | | |
|---|---|---|
| Commercial system | 12 | 55% |
| Homegrown system | 10 | 45% |

Please identify the vendor and product.

ALEPH (Ex Libris)

DocuData Software Corp.; EDC RC

Documentum

ExLibris, Voyager and Microsoft Access

Iron Mountain (2 responses)

Macromedia Dreamweaver

Microsoft Access database (2 responses)

Total Recall from the DHS worldwide vendor is used by the private offsite storage facility and the Records Program.

Voyager, DSpace, EAD (DLXS)

## Selected Comments from Respondents

"Active records are too distributed to give an accurate single answer to these questions."

"Catalog records are created for all permanent and non-permanent accessions, inventories are stored as Word files and hard copies are filed. Inventories received before 1999 are generally available in hard copy only. An Access database is used to facilitate reporting as well as destruction at the end of retention periods."

"N/A. Library does not offer this service. Currently, no storage on campus for non-archival records. The program is still under development, activities are not centralized (but anticipated), and are still carried out by individual units on campus."

"Only those materials sent off site are managed in this way {Iron Mountain}. If the office made other arrangements they are not coordinated by the University Archivist."

"Since the University does not maintain a records retention center, there is no system for accessions, inventories, check outs, etc."

"Some units have purchased and are in the process of implementing commercial records management software or content management software but the percentage is very small and it is not being done at an enterprise wide level."

"[Homegrown] System is currently being converted to Oracle-based software."

"System was built using MS Access, ca. 1994/95. We do print some records as a paper backup."

"The check above is in reference to the State Records Center that uses a software package to manage the records center inventory; included in that is reference and retrieval service."

"The Microsoft Office Excel program is used internally to document the offsite storage activity. Completed order forms, total monthly deliveries, pick ups, and box numbers, plus the transmittal numbers are documented with Excel. Inventories of the non-permanent offsite storage records are saved on the library server either in Word or Excel. The UARP accession database is maintained by the FileMaker Pro database, and this program documents all of the UARP permanent and /or historical collections. Paper accession files are created which include the Deed of Gift, accession transmittal form, correspondence, and other pertinent information."

"The records management system database is a Web-based MySQL database developed by Library Information Technology and Records Management staff."

"This [ALEPH} is for accessions of permanent records only."

"We developed a homegrown system in the mid 1980's. We have transferred data from one commercial system to others over the years. We are currently using Microsoft Access for our homegrown system."

"We expect to be moving [from Microsoft Access] to Past Perfect this year."

## INCOMING RECORDS

16. On average, how many new records are received each year? N=15

| Text | | Graphic Materials | | Audio-visual Materials | | Electronic Records | | Other Format | |
|---|---|---|---|---|---|---|---|---|---|
| 350 | banker's boxes | | | | | | | | |
| 400 | boxes | | | | | | | | |
| 700 | boxes | | | | | | | | |
| 975 | boxes | | | 5 | boxes | | | | |
| ca. 2,500 | boxes | ca. 200 | items | ca. 50 | items | ca. 25 | items | | |
| 90 | cubic ft | 5 | cubic ft | 5 | cubic ft | | | | |
| 300 | cubic ft | 900 | items | 722 | items | 6 | gigabytes | | |
| 400 | cubic ft | | | | | | | | |
| 450 | cubic ft | | | 25000 | items | | | | |
| 700–800 | cubic ft | 25–30 | cubic ft | 500–600 | items | 150–200 | disks | | |
| 1,352 | cubic ft | | | 10 | cubic ft | | | | |
| 4,400 | cubic ft | 15 | boxes | | | | | | |
| 150 | linear ft | | | | | | | | |
| 938 | linear ft | 1.25 | linear ft | 1.25 | linear ft | 1.25 | linear ft | 1.25 | linear ft |
| 1,300 | linear ft | 50 | items | 30 | items | 150 | items | 5 | items |

## RECORDS USE

17. Who is permitted to request retrieval of records from storage for use/viewing? Check all that apply. N=21

| | | |
|---|---|---|
| Staff in the originating office | 19 | 91% |
| Staff in other offices of the institution | 7 | 33% |
| The general public | 8 | 38% |
| Other | 6 | 29% |

## Selected Comments from Respondents

"Access is determined by office of origin."

"By policy here, records in inactive records storage remain in the legal custody of the office of origin."

"Generally only the originating office views the records. Other individuals can view the records if there are no restrictions placed on the records or if they receive permission from University Archives and Records and/or the originating office."

"Since the University does not maintain a records retention center, the departments decide who is able to view their records. The departments also maintain their own policies for how records are seen."

"The public can, of course request retrieval through the originating office."

"The Records Manager retrieves the records for the permanent/historical collections on the Special Collections and Digital Programs customer number. The staff in the originating office requests files or boxes to be used only in their own office from the records which are stored offsite and funded on their customer number. These records are non-permanent and aren't accessioned into the University Archives."

## 18. At what level are the records normally checked out? Check all that apply. N=20

| | | |
|---|---|---|
| Item | 4 | 20% |
| Folder | 15 | 75% |
| Box | 14 | 70% |
| Other | 4 | 20% |

## Selected Comments from Respondents

"Material is retrieved at the box level but is not checked out of the facility."

"Please note that items are not checked out but stay on site within Archives unless requested by upper-level administrative offices within the University (i.e., President's office, Board of Governors, etc.)"

19. On average, how many checkout requests are processed each year? Are records required to be used onsite? N=18

| Requests | Used onsite? | Comments |
|---|---|---|
| | No | Don't have checkout figures. |
| | No | One may use the records at the vendor site or have them delivered to their office. |
| 2 | No | |
| 75 | No | |
| 150 | No | |
| 170 | No | |
| 225 | No | |
| 900 | No | |
| 1400 | No | Generally records are used in originating offices. We do have a small reading room facility where staff from originating offices can work with their records. On rare occasions, public researchers have worked in the reading room, using records with the permission of the originating office. We are not staffed, however, for routine supervision of the reading room, so such special arrangements are disruptive and rare. We do transmit records via telefacsimile upon request by the originating office. |
| 2770 | No | Only the originating office can use records offsite. Other individuals must view records onsite. |
| | Yes | |
| | Yes | Requests for Special Collections or University Archives records are not tallied separately. |
| 10 | Yes | |
| 12 | Yes | |
| 100 | Yes | |
| 300 | Yes | There are two scenarios which apply here. The first is in relation to the offsite storage files in that an office which is storing their files offsite can request directly for retrieval of these files. These records are almost always non-permanent and either haven't met their retention or the office wants to maintain them past the retention but doesn't have the campus space. Only new transfers and destruction are handled by the Records Manager. The second scenario applies to the permanent collections which are located at the offsite storage facility. These collections are accessions of Special Collections and University Archives, and are part of the Archives. The division operates a reference desk which handles the bulk of the requests for permanent and/or historical collections. The general public, which includes any staff member on campus, can request via the reference desk, boxes or folders  from the offsite storage facility. This request is sent to the Records Manager to facilitate, and these particular collections are required to be used onsite. |
| 335 | Yes | |
| 1200 | Yes | |

## DISPOSAL/DESTRUCTION OF RECORDS

20. Are records discarded or destroyed at the end of their retention period? Check all that apply. N=18

| Format | Discarded | Destroyed | N |
|---|---|---|---|
| Text | 5 | 18 | 18 |
| Graphic materials | 3 | 10 | 11 |
| Audio-visual materials | 2 | 8 | 9 |
| Electronic records | 1 | 7 | 7 |
| Other format | 1 | 2 | 2 |

Please describe other format.

"Microfilm."

"We manage only records of permanent value."

"University Archives assumes that all the record types are both destroyed and discarded depending upon confidentiality."

If you discard records, how do you discard them? N=5

"Records are discarded in the regular trash and recycling."

"Recycle."

"Recycling."

"Recycling bins."

"Trash or recycling."

If you destroy records, how do you destroy them? N=18

"Confidential destruction via shredding. [Some are transferred to the archives for permanent retention.]"

"Crosscut shredder."

"On-site, confidential shredding performed by a vendor (Iron Mountain). This service contract is managed by the library for all campus units (we require on-site shredding of confidential records)."

"Paper recycler vendor."

"Paper-based materials are securely shredded. Film, tape, and related media are securely disintegrated. A records management vendor is contracted to provide these services."

"Records are destroyed using a bonded document destruction vendor under contract with the university."

"Records are picked up by a bonded destruction service."

"Secure shredding that can manage all formats."

"Shredding." (5 responses)

"Shredding for paper and graphic; audio-visual and electronic are demagnetized, then shredded."

"Shredding, degaussing (by information systems)."

"The records are shredded and recycled. We have a contract with a shredding company."

"The text and graphic records are destroyed via a locked bin which is retrieved weekly by a private recycling company to the shredder. The audio-visual materials are destroyed via cutting the film or crushing the audio or video cassette cover. These items are eventually burned via university recycling procedures."

"Through vendor, but after notice sent to creating office, and approval from that office."

21. On average, how many records are discarded/destroyed each year? N=14

Text

| Discarded | Destroyed | Unit |
|---|---|---|
| | 603 | |
| | 150 | bankers boxes |
| 150 | 150 | boxes |
| | 700 | boxes |
| | 1,000 | boxes |
| | 1,400 | boxes |
| | 5 | cubic ft |
| 50 | 150 | cubic ft |
| | 700 | cubic ft |
| | 1,400 | cubic ft |
| | 1,732 | cubic ft |
| | 3,457 | cubic ft |
| | 500 | linear ft |
| | 526 | linear ft |

## Graphic Materials

| Destroyed | Unit |
|---|---|
| 2 | cubic ft |
| 2 | cubic ft |
| 10 | cubic ft |

## Audio-visual Materials

| Destroyed | Unit |
|---|---|
| 5 | boxes |
| 10 | cubic ft |
| 25 | cubic ft |

## Electronic Records

| Destroyed | Unit |
|---|---|
| 15 | items |

## Other Format

| Destroyed | Unit |
|---|---|
| 10 | linear ft |

## Selected Comments from Respondents

"1732 cubic feet represent the amount of text non-permanent records of which a records destruction certificate was completed in 2007 by the Records Program. An unknown quantity of non-permanent text records are destroyed via locked recycle bins. The 2 cubic feet of graphic records are referring to duplicate photographic prints, which were placed in a locked recycle bin when processing a new collection. There were 25 cubic feet of video tapes which weren't related to the University in subject matter, weren't created by the university, and weren't accessioned by the SCDP audio-visual unit. The megabytes or gigabytes of general correspondence or non-business e-mail aren't calculated. These non-permanent records are listed on the State University Records Retention Schedule and are ready for destruction as soon as they are no longer useful during daily business (general correspondence) or when they aren't university related such as spam and personal e-mail correspondence (non-business correspondence). After 30 days, the Information Technology Department destroys the e-mail which as been deleted."

"Campus units are responsible for destroying the records at the end of the retention period, having first

gained approval from the state archives. The University Archives is not directly involved in this process."

"The text amount includes both materials shipped to us for immediate destruction and materials pulled from our stacks. At rare times we have been asked to destroy computer tapes, microfilm, and plastic identification cards, but these tasks are too sporadic to be counted."

"The total number for the University since March 2005–January 2008 is 166; Healthcare for the same time period is 118 for our off-site vendor but most of our recycling and destruction is done on-site and those figures cannot be access in time to meet the deadline given."

"The University Archivist coordinates the disposition of non-permanent records by facilitating the requests to the State Library regardless of the location of the records."

"University Archives does not know the numbers of what is destroyed or discarded each year. A comprehensive survey of the entire campus would have to be done to find these numbers."

## STAFF TRAINING

22. How are staff trained in records management policies and procedures? Check all that apply. N=24

| | | |
|---|---|---|
| In-person workshops | 20 | 83% |
| On-the-job experience | 19 | 79% |
| Self-study of manuals, etc. | 11 | 46% |
| Formal classes | 8 | 33% |
| Webinars | 3 | 13% |
| Other, please explain | 7 | 29% |

"Archives & Records Management department provides Web-based procedure instructions for participation in the records management program. A 'Data Security Classification Handbook' is available to faculty and staff in hard copy and PDF formats. A recently instituted 'Data Clean-up' event highlights policies and procedures with regard to record-keeping and markets the Library's records management services."

"One-on-one orientation with professional staff."

"One-on-one meetings."

"RM listserv."

"The University Archivist will work with offices to interpret the schedules for all formats but as the Archives does not store the records this is not required. The schedules for the state cover the types of record, regardless of format."

"Training can be very informal, that is can be done whichever way best meets the user's needs such as one-on-one, departmental level, over the phone, etc."

"Web training modules (not webinars)."

### 23. Are all staff members trained to manage all formats of records? N=22

| | | |
|---|---|---|
| **Yes** | 13 | 59% |
| **No** | 9 | 41% |

If no, please explain which staff are trained to manage which type(s) of record(s).

"Just the University Archivist and the Electronic Records Archivist."

"Most staff is trained only in the management of text, a/v, and graphic materials. Coordinator (Department Head) has training in the management of electronic records."

"No training currently available for electronic records."

"Paper and electronic as well as other formats as needed."

"Since April, 2007, all university new employees are trained in basic office records management with an emphasis on electronic records. This is accomplished in collaboration with the Human Resources Department. A PowerPoint presentation created by the Records Program and the Legal Office is viewed by the new employees, and a Records Program brochure is distributed during the day long orientation. The same presentation is used to educate colleges such as medicine, nursing, and law. It is found that when a college, department, or job position group like the budget officers request a session in records management, the response is well received. Also, it has been found that when training is offered to the offsite office representatives, there is a positive result. These are the employees who work with the Records Manager on a continuing basis to send non-permanent records to offsite storage, to transfer permanent records to the University Archives, or to destroy non-permanent records which have reached their retention. Individuals e-mail or phone the Records Manager and this group receives one-on-one training via e-mails with the schedule and records procedures plus phone conversations concerning their questions. When necessary, onsite visits are facilitated. During these visits the Records Manager evaluates the records in question as to the record name and number, retention, and whether ready for offsite storage, transfer to the University Archives, or destruction. The liaisons receive e-mails, phone calls, and training sessions based on the need. Typically, an annual workshop is held for these liaisons who include the offsite storage representatives from each office. In past years, the President of the University has e-mailed the employee listserve to encourage sound records management practices. Generally in January and August, an annual review period (ARP) is encouraged by the college or department heads. During this review, records management activities increase as the office representatives evaluate their records as pertain to use and space."

"The Head is trained in text records, but has limited experience with electronic records."

"Training, at present, tends to be driven by specific job functions and data access policies."

24. What metrics are used to assess the performance of the records management program? Check all that apply. N=23

| | | |
|---|---|---|
| Percentage of departments that participate in the program | 11 | 48% |
| Turnaround time for retrieval requests | 7 | 30% |
| Turnaround time for accessioning, creating box lists, moving items to storage | 6 | 26% |
| Volume of backlog | 4 | 17% |
| Other, please describe | 13 | 57% |

"1.Questions regarding retention, storage, training, electronic records, compliance. 2. Training classes. 3. RIM financial impact. 4. Collaboration with other units. 5. Web site. 6. User satisfaction — evaluations. 7. Feedback on offsite storage, recycling, and secure document shredding."

"Annual reports."

"At this point there is no assessment of the records management program."

"No metrics are used to assess the performance of the records management program."

"None."

"Number of calls and e-mails regarding basic records management questions. This tells us if people are using our self-service resources or not."

"Number of transactions (boxes stored, retrieved, destroyed, transferred to Archives). Schedules approved (number)."

"Performance is not assessed."

"The performance of the program has never been evaluated."

"There are no metrics for records management."

"This % refers to consultations, fee-based services for projects/consultations."

"We have not done an assessment of the program."

"We use no metrics beyond documenting the volume of material and business (reference questions, file requests, etc.)"

## ADDITIONAL COMMENTS

25. Please enter any additional information regarding records management at your library that may assist the authors in accurately analyzing the results of this survey. N=19

"A Records Management Task Force was created and had its first meeting on February 27, 2008. At this time, the resumption of a records management program is in its very infancy."

"Although the records management program has been in place since 1984, recent developments have improved the level of service and security of the program. A records center warehouse was established; revised retention schedules have been developed, and program and retention information have been deployed via Web sites. Issues related to electronic records are beginning to be addressed, but further development will need to take place."

"As stated earlier, we are trying to create a more systematic procedure for records retention and transfer throughout the University as well as advise campus staff on what records should be retained on a permanent/semi-permanent basis. We are also beginning to ingest 'born digital' university records into our Institutional Repository. Our activities for the past FY have included: analysis of the Libraries current University-related record holdings, research into 'born digital' documents housed within campus Web sites, educational and instructive outreach to campus departments, 'on site' surveys, and transfer of materials to the Archives."

"Our now defunct RM program was the result of an NHPRC grant to establish an RM program as well as a the University archives (we are the last of the Ivys to establish an institutional archive). Supported by the University Secretary in 1986, the program received backing and support from University administration. When the Secretary who initiated the program and hired the staff retired and the administration changed, the RM program ceased to exist and the University Archives stopped actively soliciting records. The UA became part of the University Libraries in July 2006; while there is no formal RM program in place, I have began the process of outreach to solicit archival records and to assist offices in maintaining their office records."

"We have an official records management program for the New York State College of Human Ecology. For the rest of the university, we have an official retention policy, which the University Archives 'manages,' but we primarily provide consultation and guidance for all records, but only specific assistance in storage and access for permanently scheduled archival records."

"Early on in this survey, I failed to understand the distinction being made between discarding and destroying. Except for cases where something blatantly inappropriate has been shipped to us, we process all materials through our secure destruction cycle."

"From 1977 to 1987, the Records Program was administered by the Vice President for Administration and Finance, sometimes named the VP for Business Services at other universities. This VP is now the Custodian of Records who handles the Open Records requests in cooperation with the Chief Legal Counsel and the Records Manager. This position is kept abreast of the campus records management workshops. In 1987, the mission for the Records Program was transferred to the University Archives and the duty of the University Archivist. In the fall of 1987, the Library assumed administrative responsibility for the university's ten-year-old records program, and University Archives was renamed 'the University Archives and Records Program.' There followed an extensive survey of the records of the institution's major administrative offices and academic

units, and intensive discussions with University personnel and state officials, concerning the management of the university's public records. In 1994, this culminated in the formulation of the State University Records Retention Model Schedule, which today serves as the basis for the current Records Program of the university, as well as those programs of the other state public post-secondary educational institutions.  Since 1956, the University Archives had been part of the Special Collections Division, and in 1987, the Records Program became part of the newly named Special Collections and Archives. In 2004, the Preservation and the Digital Programs units combined with Special Collections and Archives and the University Archives and Records Program to become the Special Collections and Digital Programs. The first full time Records Manager was hired in 1996, and within a year absorbed the responsibilities of the Assistant University Archivist. When this position was vacated, the Records Program remained a part of the Assistant University Archivist position. In 2006, another full time Records Manager was hired who works under the supervision of the University Archivist."

"I hope that ARL can raise awareness that records management on campus is a huge resource and risk reducer. If I had more resources to devote to it, the campus would benefit greatly in so many ways (reduces time to look for records, expensive office space used to store records, and legal and financial risk). I applaud library units who have taken on this responsibility. Most campuses are very decentralized, so it is a big challenge to have a systematic and widely used records management program."

"I must emphasize that records management here is limited to records retention scheduling. We develop the general schedule for the campus and for individual units when necessary. The Archives has a close working relationship with the university's attorneys."

"The university relies upon each individual department to follow procedures and maintain their own records. The University Archives will assist the departments in any way possible, but does not have the staff or space to manage a records center."

"It is important to understand that Records Management here is integrated with the Archives program, with staff often involved in both roles simultaneously. As a result, it is hard to quantify amount of time spent, etc."

"Our staff administers both the Archives and Records Management functions. The operations are fully integrated."

"Related to question 16, access to records varies by age of record. We allow general access to records that are more than 25 years old (unless otherwise limited by FERPA, HIPAA etc.) Regarding question 20, materials are discarded or shredded based on content not format."

"The entire program is currently under review and will likely be moved out of the Libraries and into University Services within the next year."

"The Records and Information Management program manages the retention schedule for the healthcare systems. RIM is attempting to establish at the enterprise level an electronic records committee whose mission would be to discuss issues surrounding electronic records and possible solutions. Examining the role of RIM and whether its current organizational placement is the most beneficial to the program as well as to the institution. Current issues facing most RIM program that reside in a large decentralized environment which include but is not limited to: e-mail, enterprise-wide electronic records solutions, e-policies and procedures, budgets, staffing, training, compliance. Another major issue is how one mandates a records and information management program in a decentralized environment? How to implement audit tools to ensure compliance?"

"The records management function was with Archives (a library unit) historically until after 2002 when it was shared with the Privacy Unit (Archives kept the archiving part). On February 1, 2008, the Privacy Unit was moved administratively from the library and placed under the Vice-President Administration, so now the records management function is now largely outside the Library."

"The records management program is responsive but not aggressive. The University Archivist will respond to all requests for information, give presentations, assist individuals and offices, and in general fulfill the requirements as best as possible. Repeated efforts to increase the awareness of the practicality of a full-fledged RM program with appropriate staff and resources have not been successful, although there is recognition that it is an important issue."

"The RM program is still under development and records management services are not yet centralized, that is, they are still carried out by individual units on campus, sometimes with advice/consultation from the RM Manager."

"Throughout the survey I have answered storage questions based upon only archival records stored here in the archives. We do not run an inactive records center so I cannot answer to that kind of storage. Our program focuses on the creation of records retention schedules, staff training, and communication and consulting on all records management issues."

# RESPONDING INSTITUTIONS

University of Alabama

University at Albany, SUNY

University of Alberta

Arizona State University

Boston College

University of British Columbia

Brown University

University at Buffalo, SUNY

University of California, Irvine

University of California, San Diego

University of California, Santa Barbara

Canada Institute for Scientific and Technical Information

University of Cincinnati

Colorado State University

Columbia University

University of Connecticut

Cornell University

Duke University

Emory University

University of Florida

George Washington University

University of Georgia

Georgia Institute of Technology

University of Illinois at Chicago

University of Illinois at Urbana-Champaign

University of Iowa

Iowa State University

Johns Hopkins University

University of Kansas

Kent State University

University of Kentucky

University of Louisville

McGill University

University of Manitoba

University of Massachusetts, Amherst

Massachusetts Institute of Technology

University of Michigan

University of Minnesota

North Carolina State University

Northwestern University

University of Notre Dame

Ohio State University

Oklahoma State University

University of Oregon

University of Pennsylvania

Pennsylvania State University

Purdue University

Rice University

Rutgers University

University of Southern California

Southern Illinois University Carbondale

University of Tennessee

Vanderbilt University

University of Virginia

Virginia Tech

University of Washington

Washington State University

Washington University in St. Louis

University of Waterloo

University of Western Ontario

University of Wisconsin–Madison

Yale University

# REPRESENTATIVE DOCUMENTS

# About Records Management

University of Georgia Libraries

# HARGRETT
### RARE BOOK & MANUSCRIPT LIBRARY

RECORDS
CENTER

DESTRUCTION
OF RECORDS

STORAGE
& RETENTION
REQUIREMENTS

ACCESS TO
RECORDS

ELECTRONIC
RECORDS
POLICY

RECORDS
FORMS

Departmental
Records Officer
Form

File Retrieval
Form

Box Transfer
Form - Destruction

Box Transfer
Form - Storage

HARGRETT
LIBRARY

# UNIVERSITY OF GEORGIA RECORDS CENTER

**SPECIAL NOTE: Any department sending destruction or storage materials to the Records Center after August 29, 2003 must receive a control number for each set of records before delivery. cont'd...**

The mission of the University of Georgia Records Management Program is to promote sound and legal handling of records generated at the University. To pursue that mission, we provide *advice and training* to UGA personnel, bulk *storage* for appropriate documents, retrieval of stored documents and safe *destruction* of confidential materials that have met their retention requirement.

Records at the University of Georgia must be kept according to the legal and procedural standards found in the Georgia Board of Regents Records Retention Guidelines at http://www.usg.edu/usgweb/busserv/. For help in interpreting the retention guidelines, please see our retention schedule introduction page on this web site or contact us directly.

Departments can contact us directly to request access to their own records. When access is needed to records created by another department, they should be requested through the creating department or through the University of Georgia Office of Public Affairs.

Student transcripts are handled through the Registrar's office.

**PERSONNEL**
**Venus Jackson is the Records Manager.** vjackson@uga.edu
**Ryan Smith is the Records Technical Assistant.** rsmith40@uga.edu

**The Records Center is a part of the Hargrett Rare Book and Manuscript Library where Steven Brown (sabrown@uga.edu) is the Head of Archives and Records Management.**

Contact the Records Center:

**GEORGIA INSTITUTE OF TECHNOLOGY:** Archives and Records Management

http://www.library.gatech.edu/archives/records_mgmt.html

**Georgia Tech** | Archives and Records Management

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**INFORMATION ABOUT:**

**RECORDS CENTER**
- Transferring Records
- Accessing Records

**RETENTION REQUIREMENTS**
- Secure Destruction
- Vital Records
- Electronic Records

**RELATED RESOURCES**

**ARCHIVES**

**QUICK LINKS**
[ click to select ]

## Records Management

The Georgia Tech Records Center provides long-term secure storage for campus business and academic records whose retention is required to meet legal and/or fiscal guidelines.

Storing your old, inactive records in the Records Center is a cost-effective means of complying with retention requirements. By systematically organizing your inactive records for transfer to the Records Center, you can free up valuable office and filing space. You can also be confident that records will be securely destroyed once they have met their retention requirements.

Storage and retrieval services are free of charge to participating campus departments.

Archives and Records Management staff can advise you in organizing your records for transfer to the Records Center.

**What is records management?**

Records management involves the systematic control and organization of an institution's records. A records management program is intended to insure that an institution's records are created, maintained, and ultimately disposed of in a manner that meets legal and fiscal requirements.

**Why implement a records management program?**

- Promote efficiency in the management of the Institute's information assets and safeguard this vital information
- Minimize risks associated with litigation
- Ensure compliance with regulatory guidelines

**RELATED DOCUMENTS:**

BOR Retention Guidelines

Record Transfer Form

Box Label

Record Retrieval Form

Records Decision Tree

ACCESSIBILITY | CONTACT US | STAFF ONLY | GT LIBRARY
GT Archives & Records Management ::: 704 Research Avenue :: Atlanta, Georgia 30332-0900 :: phone:(404) 894-4586

# UK Records Program

## Records Management at the University of Kentucky:

## It's Your Responsibility

### UK Records Are Public Records

As a state agency, the University of Kentucky complies with state laws regarding record keeping. Kentucky's Public Records Law (KRS 171.410-740) states that the "head of each state and local agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency" (KRS 171.680 [1]). All state and local government employees are responsible for the records they create and maintain, and in that sense they can make a major contribution to good records management. Kentucky law (KRS 171.410-740) assigns broad authority for the management of state and local government records to the Kentucky Department for Libraries & Archives.

For more information, see the "Public and Open Records" section of the online Records Program website. **http://www.uky.edu/Libraries/libpage.php?lweb_id=300&llib_id=13&ltab_rank=3**

### Reasons for Good Records Management

*Economy & Efficiency* (Information Asset Management): Records keeping is a large expenditure. Record creation, filing, storage space, supplies, & equipment all contribute to the high cost. Good records management makes records keeping easier and more productive. Having fewer files in the office makes individual record retrieval easier and faster.

*Legal Requirements & Protection* (Compliance): Proper records management is mandated by state law (KRS 171.410-740); and reduces nuisance litigation. Following records retention schedules and proper procedures assures that records are being disposed of in a routine and legal manner.

*Preservation of History* (Institutional Memory): Tomorrow's history is contained in today's records; and aids business continuity.

*Public Relations* (Promotion & Damage Control): Proper records management limits the possibility for negative publicity.

# UK Records Program

**The University of Kentucky Records Program co-ordinates records management activities throughout the University. The Records Program seeks to ensure that records procedures are consistent, meet state guidelines, and fulfill internal needs and external requirements. The Program helps University units apply the State University Model Records Retention Schedule to their records and advises them on such topics as records reformatting, electronic records preservation, storage, and disaster recovery and preparedness. The Records Program is an important first step in capturing and preserving University records for the University Archives.**

www.uky.edu/Libraries/libpage.php?lweb_id=13

## Records Retention
## To Save or to Destroy?

Although about 90% of institutional records are not permanent, offices must be cautious in making decisions regarding destruction. Records must have completed their proper retention period before destruction. All employees are advised to use the State University Model Records Retention Schedule (Model Schedule) as the guide to determine which records may be destroyed and which should be retained permanently. http://lib.uky.edu/umodel/

Permanent records are important to the University and have either a legal or historical value which denotes they need to be maintained in perpetuity. Most of these records should be transferred to the University Archives when no longer needed by creating office.

Non-Permanent records have no long-term value and may be destroyed after fulfilling retention periods. Offices may choose to store non-permanent records offsite by utilizing the Libraries contract with Kentucky Underground Storage, Inc. (KUSI) and following the transfer procedures outlined on the "Records Transfer and Destruction" section of the Records Program website.

## Records Destruction

The appropriate destruction of records is encouraged as part of proper records management practices.

Once the retention period has been fulfilled, non-permanent records may be destroyed. The University Records Program recommends recycling as a method of destruction. Confidential records should be shredded before recycling. For assistance with shredding and recycling, contact Tom Gregory, Manager, Resource Conservation & Recycling (257-8788 or tgregor@email.uky.edu).

Records destruction must be recorded on a Records Destruction Certificate. Records Destruction Certificates are available by contacting the UK Records Program.

## Reformatting:
## Microfilming & Digitizing Records

Original permanent records may be destroyed only if microfilmed to archival standards. The Kentucky Department of Libraries and Archives' micrographics unit is certified to microfilm permanent University records. Archival quality microfilm lasts hundreds of years if properly prepared and stored. Non-archival microfilm, however, can be used in offices as a "use copy" if the original paper records are retained or if a master negative is created and stored. Estimates on microfilming may be obtained. See the "Reformatting" section of the Records Program website for additional information.

The Records Program supports digital imaging systems under the proper circumstances. We recommend that all units considering a digital imaging project for their University records visit the "Reformatting" section of the Records Program website and contact us. The Records Program can be useful with business process analysis and will help apply guidelines from the Kentucky Department for Libraries and Archives (KDLA).

## Electronic Records

In today's university environment, employees create and maintain most of their records using computers. Electronic records must be managed alongside traditional records to ensure compliance with state and federal regulations and to preserve institutional history. In fact, Kentucky's definition of a public record includes any possible media: "all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings and other documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410 [1]).

Email, websites, automated information systems, etc. all constitute electronic records. KDLA and KY GOT have recently provided more information at:

http://www.uky.edu/Libraries/libpage.php?lweb_id=300&lilib_id=138ltab_rank=8

## Records Management
## Education & Training

This brochure provides only the basic information about records management at the University of Kentucky. For additional information, please visit the Records Program web site at :

www.uky.edu/Libraries/libpage.php?lweb_id=300&lilib_id=138ltab_rank=5

The web site includes information regarding records management issues, practices, and procedures as well as resources for training and education. Also, *Rec-Talk* is a listserv established to facilitate communication about records management issues at the University.

For immediate information concerning the UK Records Program please contact us at:

**Phone: 859-257-5257**
**Fax: 859-323-6365**
**E-mail: uarp@lsv.uky.edu**

# Records Management Program at MIT
Institute Archives and Special Collections

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Managing
Your
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## Managing Your Records

### Records Storage

The Records Management Program assists offices and departments in arranging for transfer of their records to Iron Mountain, the records management company storing MIT's inactive, non-permanent records. How do I prepare records for transfer to storage?

### Records Retrieval

Records can be made available only to authorized personnel in the office in which the records originated. Access to records created by another office are only available through the office of origin. How do I retrieve records from storage?

### Records Destruction

At the end of their retention period, records should be destroyed (shredded or recycled) in a timely manner. Records are eligible for destruction when their retention periods have expired, all audit requirements have been satisfied, there are no pending requests for information, and there is no reasonably foreseeable litigation involving the records. What should I know about retention and destruction?

Last modified 5/14/05

Departments,
Laboratories,
and Centers:
How Long to
Keep
Financial
Records
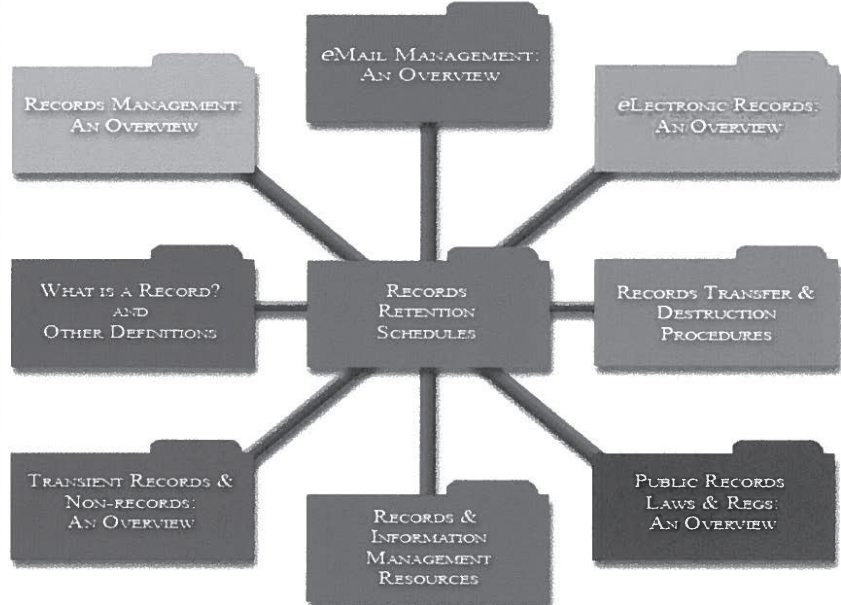
Intitute Archives and Special Collections
MIT Libraries
Massachusetts Institute of Technology
77 Massachusetts Avenue, Cambridge, MA 02139-4397 USA

MITLibraries

**OHIO STATE UNIVERSITY:** The Ohio State University Archives

http://library.osu.edu/sites/archives/retention/records.php



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Byrd Polar Archives

John Glenn Archives

Records Retention & Management

University Manuscripts

University Photo Archives

Archives Main Menu
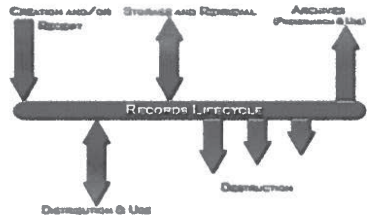
Online Exhibits

## The Ohio State University Archives

**RECORDS MANAGEMENT: AN OVERVIEW**

eMail | eRecs | DEFINITIONS | SCHEDULES | DISPOSITION | TRANSIENT | RIM Links | LAWS & REGS

**WHY DO WE CARE ABOUT OUR RETAINING AND MANAGING OUR RECORDS?** Because they are our organization's institutional memory that...

- Document our management decisions...
- Provide historical references of transactions and events...
- Enhance our organization's operational efficiencies...
- Demonstrate regulatory compliance...
- Provide litigation support...

Two key concepts to embrace to effectively retain and manage records are the **records lifecycle** and **elements of a records management program**.



**RECORDS LIFECYCLE:** All records have a lifecycle, albeit some longer than others. Records are created, used, kept for valid legal, fiscal, or administrative reasons, and more likely than not destroyed at the end of their lives, although some with enduring historical value will be maintained in an archives. Click on the various records lifecycle components in the image below to learn more about the records lifecycle...

**OHIO STATE UNIVERSITY:** 7 Elements of a Records Management Program

http://library.osu.edu/sites/archives/retention/records.php
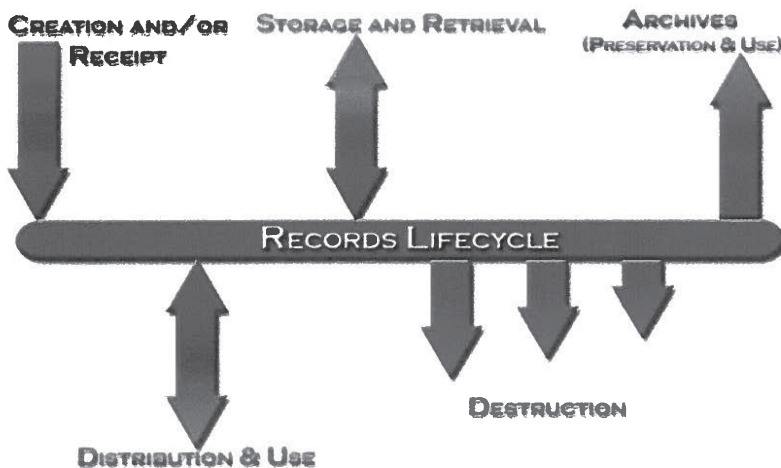
**7 ELEMENETS OF A RECORDS MANAGEMENT PROGRAM:** As depicted in the image below there are seven (7) elements to an effective records management program starting with the foundation of a records inventory and culminating in a written set of policies and procedures that are reviewed and updated on a regular basis. Click on the various records management program components in the image below to learn more about how to create an effective records management program...
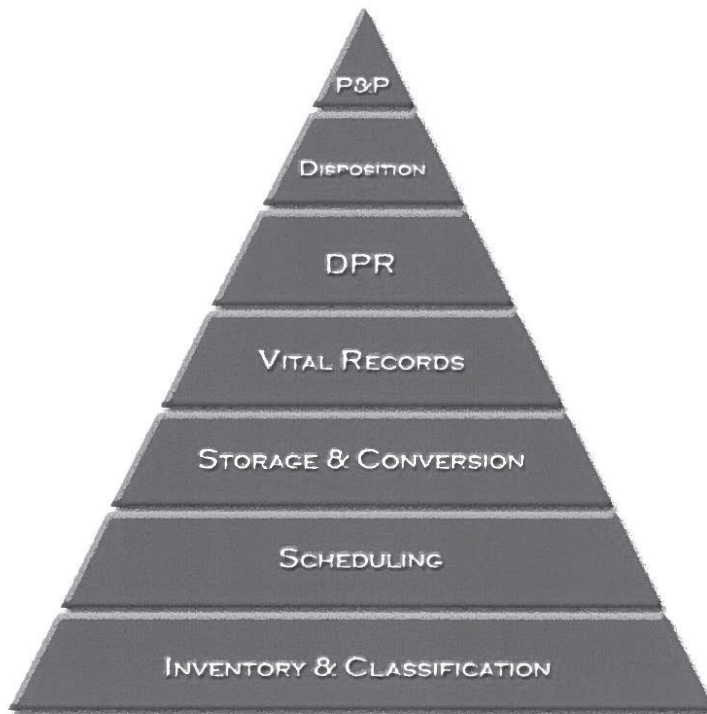


**RECORDS INVENTORY AND CLASSIFICATION:** The start of any good records management program, whether one is going to develop their own records retention schedule or as the case here at OSU where one is applying existing retention schedules, one has to know what records they have and are responsible for. To this end one conducts a records inventory, that is a complete and accurate listing of their records, whether paper-based, microform, or electronic, that indicates...

- how and where they are physically stored
- volume of storage
- how they are classified for
  - future use and retrieval
  - sensitivity of information and access
- what its retention period is, if known OR its legal, fiscal, and/or administrative value, to determine retention

**RETENTION SCHEDULING:** All records have a life as described above in the records lifecycle section. That life may be as short as a few hours as is the case with some **transient** records or may be as long as forever as is the case with records of enduring historical value. The record's lifecycle is determined through analysis of:

O | UNIVERSITY OF OREGON

# UO Libraries

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## Records Management (RM) Services

### Storage of Non-permanent Records

We provide offsite storage for inactive, non-permanent records from campus clients. Detailed instructions for this process are located here. Please note:

- We no longer accept records that have 3 years or less left on its retention period.
- Please fill out a transmittal form and include a box and folder list for any records that you would like to transfer to storage.
- Please use the UO Records Retention Schedule to identify the records you are requesting for transfer.

### Training and Assistance

We provide detailed training and assistance to university clients on a variety of records related topics. Please contact the Electronic Records Archivist, Erin O'Meara if you would like to schedule a training session or an appointment to discuss a records-related issue in your office.

- Online training: Records Management: The Basics
- Check out North Carolina's interactive training on managing e-mail messages.
- Here is a list of record series common to academic departments.
- The Business Affairs Office has created a guide to the retention of Payroll Records. It is very useful in figuring out the appropriate retention period since there are multiple categories in this area.

### Confidential Recycling

Oregon Administrative Rule (OAR) 166-30-060(2) stipulates that "Records which are confidential by law . . . must be destroyed by shredding, pulping, or incineration." The library maintains a contract with Docu-Shred for confidential recycling of public records. Here is more detailed information about this requirement and the contact information for Docu-Shred.

Maintained by: Erin O'Meara, erino@uoregon.edu

Last Modified: 03/13/2008

University of Oregon | 1501 Kincaid Street | Eugene, OR 97403-1299 | T: (541) 346-3053 | F: (541) 346-3485

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http://www.libraries.psu.edu/speccolls/psua/recordsmanagement/rmpage.htm

**PENN STATE**

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AND
MANUSCRIPTS

HISTORICAL
COLLECTIONS AND
LABOR ARCHIVES

PENN STATE
UNIVERSITY
ARCHIVES

## Penn State University Archives

### Records Management

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- Records Management Policies on GURU
- University Guidelines on Retention of E-mail
- Fast Facts
- Records Management Tips
- Records Collected by the University Archives
- How to send Records to the University Archives
- Sample Inventory
- Web Site Addresses
- Retention Periods - A Locator Quiz

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## Penn State University Archives

### Records Management

#### The Program Encompasses

- Retention and Disposition Schedule Development

- Record Surveys and Inventories

- Vital Records Management

- Identification and Transfer of Archival Records

- Files Management System Design and Development

- Faculty and Staff Files and Records Management Training including Workshops and Seminars

- Reformatting to Microfilm, Electronic, Optical, and Digital Format Reviews and Recommendations

- Electronic Records Management Recommendations

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RARE BOOKS AND MANUSCRIPTS

HISTORICAL COLLECTIONS AND LABOR ARCHIVES

PENN STATE UNIVERSITY ARCHIVES

http://www.lib.uwo.ca/archives/records.shtml

## Archives and Research Collections Centre
### Home of Western Archives

### RECORDS MANAGEMENT SERVICES

Western Archives provides a full range of records management services to the University, including:

- Classification system design
- Filing supply and equipment planning
- Secure on-campus semi-active records storage and retrieval (see client comments)
- Vital records identification and protection
- Media conversion and storage
- Electronic records management
- Records retention and disposal schedules
- Confidential destruction

### Downloads

University Records and Archives Policy (PDF)

Staff Records Management/ Archives Unit Responsibilities (PDF)

Records Disposition Authority Form

**Unscheduled Records Transfer Form**
Word version
PDF

**Scheduled Records Transfer Form**
Word version
PDF

**Scheduled Records Destruction Certificate (2007-05)**
Word Version
PDF

Record Centre Services Guide (Word version)

Personal Papers of Individual Faculty Members (HTML)

Implementing Document Imaging (Word version)

**YALE UNIVERSITY:** Manuscripts and Archives. Information for Yale Offices. Introduction

http://www.library.yale.edu/mssa/ua_intro.html

MANUSCRIPTS AND ARCHIVES

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**Introduction**  |  Retrieval Request Form  |  Records Schedules  |  Archives Inventory Template  |  Contact Us

**INFORMATION FOR YALE OFFICES :: INTRODUCTION**

One of the most important sources for understanding the evolution of an organization is its records. The Yale University Archives selects, preserves, and provides access to the records of the university and related materials of enduring scholarly, administrative, and community significance. The University Archives is located in the Manuscripts and Archives department of the University Library. It is the official repository for all University records of lasting value once they are no longer needed for current use. It exists as the institutional memory of Yale and provides the larger community with a broad historical focus on Yale's evolution and role in society. For information on access policies, please read Research Use of the Yale University Archives.

The Records Services Program is Yale's first university wide records management initiative. The Program provides support to carry out appraisal, selection, and preservation of the institutional records of Yale and its affiliated agencies. Records Services staff consult with offices to determine which records are archival, requiring permanent retention, how to prepare materials for transfer to the University Archives, and how to retrieve them for administrative purposes.

Shared Responsibility for Records
Records regardless of format, created in the course of business at Yale are the property of the University. Yale offices and staff that create and maintain these records are responsible for their preservation and security while they are in active use, and are also responsible for consulting with Archives and Records Services staff to determine when and how inactive records should be transferred to the University Archives or destroyed. The policies and procedures practiced by the Archives and Records Services Program are fully endorsed by the Secretary of the University, who has the ultimate responsibility for protecting Yale's records and holdings.
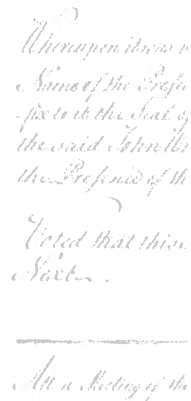
Value and Uses of Records
The records generated by the schools, departments, and offices of the University are the most tangible evidence of Yale's history and activities. They provide officers and staff of the University with materials necessary to understand and interpret the evolution of University policies and activities. They provide students, scholars, and researchers with essential documentation of how Yale operates. The records not only document the official duties of the officers, schools, programs, and departments on campus, but also its relationships with alumni, affiliated organizations, student clubs, and its home city of New Haven.

Categories of Records
The selection and preservation of those records that support these historical, administrative, and community pursuits is a complex undertaking in an institution that has had the longevity and range of interests that Yale has had. Obviously, not all of the records that Yale has produced in its more than 300 years of existence are of permanent value. Some are of enduring significance; others are needed to provide legal and administrative evidence for recent University actions and obligations; still others are only of transient value, primarily to the office that holds it, to support the creating office's effective functioning.

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# Records Management Policies

**UNIVERSITY OF CINCINNATI:** Records Management Program. Policy and Procedure Guide

http://www.libraries.uc.edu/libraries/arb/records_management/documents/Records_Guide.pdf

# Records Management

## University of Cincinnati Records Management Program

## Policy and Procedure Guide

### Revised November 2006

**UNIVERSITY LIBRARIES**
*www.libraries.uc.edu*

UNIVERSITY OF Cincinnati

**UNIVERSITY OF CINCINNATI:**  Records Management Program. Policy and Procedure Guide

http://www.libraries.uc.edu/libraries/arb/records_management/documents/Records_Guide.pdf

# University of Cincinnati Records Management

University of Connecticut

University Libraries
## Thomas J. Dodd Research Center

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## Records Management

### Policies

As a state agency, documents received or created by University employees, acting in their roles as University employees, are considered state records. State records may only be disposed of after specific retention periods have been met and permission has been received from the Connecticut State Library.

### Definition of a Record

**Record** --Public records are defined in General Statutes Section 1-200(5) as: "any recorded data or information relating to the conduct of the public's business--prepared, owned, used, recieved, or retained by a public agency, whether such data or information be handwritten, typed, tape-recorded, printed, photostatted, photographed, or recorded by any other method."

**Non-Record** --The above definition is very broad. The physical characteristics of non-record materials are the same as record materials. The differences between a non-record and a record are the reasons for keeping the information and how the information is used. Now, more and more information is kept in a non-paper format. When you examine the records kept by an office, you may find that information is kept in marchine-readable format as well as hard copy. Employees are responsible for distinguishing between the record and the non-record copy.

The (non-record) examples listed below can be used to distinguish records from non-record items:

- Extra copies kept only for convenience.
- Informational copies of correspondence and other papers on which no documented administrative action is taken.
- Duplicate copies of documents maintained in the same file.
- Requests from the public for basic information such as manuals and forms that do not have any administrative retention requirements.
- Transmittal letters that do not add information to that contained in the transmitted material.
- Reproduced or published material received from other offices which requires no action and is not required for documentary purposes. The originating agency is required to maintain the record copy.
- Catalogs, trade journals, and other publications or papers received which require no action and are not part of a case upon which foreseeable action will be taken.
- Library or museum material collected for informational or exhibition purposes.
- Stocks of publications, forms, or other printed documents which become obsolete or outdated due to revision. The originating agency should maintain a record copy.
- Working papers, preliminary drafts, or other material summarized in final or other form and which have no value once action has been taken.

**Record series** --A group of similar or related records that are normally used and filed as a unit and can be evaluated as a unit for determinig the record retention period. All of the records that make up a record series must have the same retention periods. You cannot break up a record series into individual records and give each record a different retention period.

**Records Retention Schedule** --A comprehensive list of record series which indicates for each series the length of time it is to be maintained until it is reviewed for destruction or archival retention. It also indicates retention in active and inactive storage areas.

*[Records Management Manual: Statutes, Policies, and Procedures for Connecticut State Agencies. Hartford, CT: Connecticut State Library, 1999. Pages 3-4]*

### Disposition of State records

State records may only be disposed of after the approved retention period has expired and the completed Disposal request authorization form has been signed and returned to the responsible University office or department.

### Retention of State records

The Public Records Administration of the Connecticut State Library is responsible for establishing the required minimum retention periods of state records. As a state agency, the University of Connecticut complies with the Schedules for Connecticut State Agencies.

### Storage, Transfer and Destruction of State records

University departments that must be retain state records for a set length of time, as determined by the Connecticut State Library, have several options available to them. Restrictions vary for each of the storage options listed, please read carefully and contact the appropriate offices before making any decisions.

http://www.lib.uconn.edu/online/research/speclib/ASC/rm/policies.htm

### Storage, Transfer and Destruction of State records

University departments that must be retain state records for a set length of time, as determined by the Connecticut State Library, have several options available to them. Restrictions vary for each of the storage options listed, please read carefully and contact the appropriate offices before making any decisions.

- On site [within the office/department] storage
- Off site [on or off campus, with multiple levels of service] storage
- University Archives

### On Site Storage

University offices and departments may choose to store non-current records within the department until the retention period has expired before requesting permission to dispose. Departments wishing to retain direct control of their records in this fashion are strongly recommended to actively participate in the University's Records Management Program to keep the space requirements for storage to a minimum. Contact **Betsy Pittman** for further information about the Records Management Program.

### Off Site Storage

University offices/departments have two options for off site storage of non-current records. The University's **Central Stores** provides **storage services**, for a fee, within the warehouse building. Please contact Central Stores for further information on services and fees. The University also has a contract with a vendor for off site storage and associated services. Please contact **Betsy Pittman** for further information on services and fees.

Shredding is available for Confidential records by Central Stores staff. Once destruction has been approved, requests are made with the submission of a **Shredding Service Request Form** to Central Stores.

### University Archives

All University records identified designated as having significant value to the institution and having a retention period of "permanent" are eligible to be transferred to the University Archives. Documents with a retention period of less than "permanent" are not eligible for transfer to or storage in the Archives. Please contact **Betsy Pittman** (486-4507) with any questions.

### Strategic Plan for Electronic Records

The University received a grant in to develop a **strategic plan** for its electronic records. Although only portions have been implemented, the plan is a significant planning tool and reference for the creation, use, storage and long term preservation of the University's electronic archival records.

This page is maintained by **B. Pittman**

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Thomas J. Dodd Research Center
405 Babbidge Road, Unit 1205
Storrs, Connecticut 06269-1205
860.486.4500 / 860.486.4521 (Fax)

**3342-5-15      University policy regarding records retention.**

(A)     The board of trustees hereby authorizes the development of a program for the administering of the records of Kent State University pursuant to Ohio Revised Code sections 149.33, 149.35, 149.43, and 149.351. The program created hereunder shall apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, responses to public records requests, and disposition of the records of the university.

(B)     The board hereby delegates the authority and responsibility for establishing the program and approving retention periods for records to the office of university counsel. The program established shall be consistent with the records retention for public colleges and universities in the Ohio manual developed by the inter-university council of Ohio, and the model public records policy created by the attorney general of the state of Ohio as they may be amended, or superseded by law.

(C)     Responsibility for adhering to the policies and procedures regarding records shall reside with the head of the respective unit where the records are maintained.

Effective: March 5, 2008
Prior Effective Dates: January 11, 1993; June 1, 2007

# Records Management Program at MIT
Institute Archives and Special Collections

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## Policies

- All records created at MIT are the property of the Institute and are administered according to policies adopted by the MIT Corporation and set forth in *MIT Policies and Procedures*.

- Institute records include all forms of recorded information created or received by any of the MIT offices, departments, laboratories, and centers in the course of Institute business. The records provide evidence of the Institute's organization, legal obligations, functions, policies, decisions, procedures, operations, and other activities.

- No official Institute records may be destroyed or otherwise disposed of without the approval of the Records Management Program.

  - Some records, documenting the history and development of the Institute, are retained permanently in the Institute Archives.

  - Other materials have only temporary value and, once they are no longer in use (inactive), can be destroyed at the end of their retention period. The non-permanent records are stored at a facility run by Iron Mountain, an outside vendor.

Departments,
Laboratories,
and Centers:
How Long to
Keep
Financial
Records

The purpose of the Records Management Program is to promote economy and efficiency in the creation, organization, maintenance, retention, use, and disposition of the Institute's official records. The MIT Records Management Policy provides for the following:

- Orderly and timely periodic transfer of inactive Institute records from prime office storage space to the records storage center.

- Systematic destruction of noncurrent Institute records that have outlived their administrative usefulness.

- Identification of Institute records that are of sufficient and continuing administrative and historical value to warrant their transfer to and preservation in the Institute Archives.

- Assistance and advice to administrative and academic personnel about efficient record-keeping practices.

Full text of the MIT archival, records management, and records access policies in *MIT Policies and Procedures* (http://web.mit.edu/policies/):

- Archival Policy
- Records Management Policy
- Records Access Policy

Last modified 7/28/05

Institute Archives and Special Collections
MIT Libraries
Massachusetts Institute of Technology
77 Massachusetts Avenue, Cambridge, MA 02139-4397 USA

MITLibraries

MIT libraries

## INSTITUTE ARCHIVES & SPECIAL COLLECTIONS

### Institute Records Access Policy

**The MIT Institute records access policy was voted by the MIT Corporation in May, 1980.**

Rules of access to Institute records are governed by the MIT Corporation.

Institute archival records will normally remain closed for a maximum period of twenty years from the date of their creation (the date on which each document was written) unless the office of origin has designated a shorter period.(1) The only records that are closed for longer periods are:

1. Corporation and Executive Committee minutes - restricted for 50 years;

2. Student records - restricted for 75 years; and

3. Personnel records - restricted for 75 years.(2)

Other records may be restricted for more than 20 years with the permission of the Institute Records Committee.(3)

During the restricted period the records will be available only to the office of origin and the staff of the Institute Archives and Special Collections department. Consideration will be given for access by others when a written request is presented to the Institute Archivist and a written approval has been obtained from the appropriate officer in the office of origin or the appropriate Institute officer now responsible for the function performed by the office of origin.

The records of the Institute will be made available in accordance with the rules and regulations of the Institute Archives and Special Collections department of the MIT Libraries.

This policy will not impinge upon the normal administrative uses of Institute records.

**Notes:**

(1) The opening date for files spanning several years will be 20 years from the most recent date. Access will be given to material already 20 years old contained within a collection that is not yet open when such material can be isolated from the rest of the collection.

(2) Access by name to individual student and personnel records (e.g., for biographical studies) will be denied for 75 years from the date the record was created. Access for aggregate studies (anonymous studies of groups) will be considered in accordance with this policy and the rules and regulations of the Institute Archives and Special Collections department.

(3) The Institute Records Committee, as defined in the Institute Archival Policy, consists of:

a) the President's designee, representing the Corporation and the Administration;

b) the Institute Archivist, representing the Director of the MIT Libraries; and

c) the Dean of the appropriate School in the case of academic departments, the Provost in the case of interdepartmental laboratories or other interdepartmental entities, or the cognizant senior officer in the case of administrative or other general Institute and alumni offices.

http://libweb.uoregon.edu/records/policies.html

UNIVERSITY OF OREGON

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## Records Management (RM) Policies

### Designation of Agency Records Officer

Oregon Administrative Rule (OAR) 166-30-0016 mandates that each state agency designate a Records Officer. The Electronic Records Archivist fulfills this function for non-permanent records. In turn, each university department and office has been mandated to designate a records management officer (RMO) who shall be responsible for the oversight of all records transactions, ensure an organized records flow, and provide for the appropriate retention and disposition of all public records within the office.

### Timely disposal of public records

As part of an effective records management program, state agencies are legally obligated to promptly dispose of state records without continuing value (OAR 166-05-0000). Lawful authorization to dispose of public records is obtained through the OUS Records Retention Schedule maintained by the University Archives (OAR 166-475). Retaining records longer than the retention period causes unnecessary legal and fiscal liabilities.

### Destruction of confidential records

Under Oregon state law, the University must safely destroy confidential records (OAR 166-30-0060(2)). More >>

### Unauthorized destruction and tampering of records

Per ORS 192.305, unauthorized destruction of a public record is a Class A misdemeanor.

### Management of essential records

Per OAR 166-020-0045, all state entities shall,

Identify their essential records, regardless of medium or physical format.

Store security copies of essential electronic records systems off the premises where the system is used, along with any system documentation necessary to enable recovery of the system in the event of an emergency.

Comply with the following storage requirements for security copies of essential electronic records systems:

- Off-site storage conditions shall have temperatures no less than 60 degrees or greater than 80 degrees Fahrenheit, and shall have a relative humidity no greater than 50 percent.

- Off-site storage shall be in fire-resistant structures, with adequate ventilation and protection against insect and mold infestation. No essential records systems shall be stored where heat or moisture can damage them.

### Electronics records and imaged records retention and documentation policy

Per OAR 166-017-0020, records with a retention period of 10 years or more that are stored in electronic form, a migration plan shall be established and on file with the Electronic Records Archivist. The migration plan should include:

- System documentation
- Description of all document types created and/or managed in the system
- Migration schedule
- File naming schema identified
- Recovery strategy in case of information loss.

Maintained by: Erin O'Meara, erino@uoregon.edu
Last Modified: 04/14/2008

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*The* UNIVERSITY *of* WESTERN ONTARIO
POLICIES *and* PROCEDURES

## 1.30   UNIVERSITY RECORDS AND ARCHIVES POLICY

Classification: General          Effective Date: 22NOV01          Supersedes: (NEW)

### GENERAL

1.00    The University of Western Ontario is committed to the efficient and effective management of its records and the preservation of its institutional memory through the establishment of a University Archives.

2.00    For the purposes of this policy, the term "record" means any information, however recorded, whether in manuscript, printed, mechanical or electronic form, and any copy thereof, but does not include a computer program or any other mechanism that produces records.

### POLICY

Mandate

3.00    The University will establish a University Archives with the following mandate:

(a)    to provide comprehensive records management services to the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University; and

(b)    to identify, acquire, arrange, describe, preserve, promote the use of, and make available those University records and related archival materials from other sources which are of enduring historical, legal, fiscal and administrative value.

4.00    All records created, received, used or maintained by officers and employees in the course of their duties on behalf of the University are the property of the University. Officers or employees leaving their positions with the University shall leave all records for their successors.  This applies to both temporary and permanent departures, including transfers within the University.

5.00    Notwithstanding section 4.00, the provisions of this policy do not apply to the records that are created or acquired by faculty members or other officers or employees pursuant to their individual responsibilities for teaching or research, unless the records are donated to the University Archives.

6.00    The University Archives is the designated repository for all permanently valuable records of the University that contain information about its history, organization, structure and functions.

Goals

7.00    The goals of the University Archives are:

(a)    to assist with and promote the efficient and effective management of all records created, received, used and maintained throughout the University;

(b)    to preserve the University's institutional memory by identifying, acquiring, preserving and protecting its permanently valuable records;

(c)    to assist with and promote compliance with the University Guidelines on Access to Information and Protection of Privacy and any statutory requirements relating to the collection, use, disclosure, retention and disposal of University records;

(d) to acquire and preserve records of affiliated institutions and campus organizations, personal papers of individuals, and collections of material from other sources that document the life of the University community;

(e) to provide adequate facilities and services for the storage and retrieval of semi-active records and the storage, preservation and use of archival records;

(f) to provide the information necessary to support current and future decision-making and to permit the University to meet institutional accountability requirements;

(g) to promote an understanding of the history, organization, structure, programs and functions of the University; and

(h) to encourage teaching and support research using archival records.

President's Advisory Committee on University Records and Archives

8.00 The University will establish a President's Advisory Committee on University Records and Archives (PACURA) with the following composition:

(a) Provost & Vice-President (Academic) (or designate)
(b) Vice-President (Resources & Operations) (or designate)
(c) Vice-President (Research & International Relations) (or designate)
(d) Vice-President (External) (or designate)
(e) Vice-Provost (Academic Programs & Students) [Registrar] (or designate)
(f) University Librarian
(g) Secretary of the University (or designate)
(h) President, Alumni Association (or designate)
(i) Internal Auditor
(j) University Archivist
(k) Two members appointed by the President

9.00 The Chair will be elected annually from among the members of the Committee and can hold that position for three consecutive one-year terms. The University Archivist will act as Executive Secretary to the Committee.

10.00 The terms of reference of the President's Advisory Committee on University Records and Archives are:

(a) to advise the President on the policies, activities and initiatives of the University Archives;

(b) to review and approve records management and archives operating policies developed to support implementation of specific components of the University Records and Archives Policy;

(c) to review and provide direction to the University Archivist on proposed program initiatives, the deaccessioning of existing archival holdings, or the potential acquisition of non-University materials that are of significant extent or value;

(d) to act as a liaison between the University Archives and those officers and employees of their respective academic or administrative units who are interested in or whose work is affected by the programs of the University Archives; and

(e) to support the University Archives in ensuring the preservation and use of the University's permanently valuable records.

11.00 The Committee is not responsible for overseeing the day-to-day administration or operation of the University Archives or for developing or implementing records management or archives procedures or practices.

12.00 The Committee must meet at least twice per calendar year, with meetings held at the call of the Chair.

13.00   The Committee must submit an annual report to the President outlining the activities of the University Archives over the past year.

Records Management Services

14.00   The University will, in the course of normal business, create and maintain adequate, reliable and usable records in order to protect and preserve its interests and support legal, fiscal, administrative and operational requirements. The effective management of these records and the maintenance of their associated records-keeping systems will be supported by records management policies, procedures and practices that should be integrated into the normal course of business.

15.00   The University Archives will provide the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University with specific records management services, procedures and practices that include classification systems to improve control and retrieval, semi-active records storage to reduce office storage requirements while ensuring records are available as long as required, vital records identification and protection, alternative media conversion and storage, electronic records management, and records retention and disposal schedules.

16.00   The University Archives will assist officers and employees in managing their records efficiently and effectively by providing a comprehensive advisory and training service.

Acquiring Archival Materials

17.00   The University Archives will acquire University records which document the University's history, organization, structure, programs and functions. To augment the information in these records, the University Archives may also acquire the records of affiliated institutions and campus organizations, the personal papers of individuals, and collections of material from other sources that document the life of the University community.

18.00   The University Archives will acquire records in all media formats, regardless of physical form or characteristics. However, this does not include the regular acquisition of artefacts or similar museum materials; these will only be acquired selectively if they relate directly to, and support the understanding, use and/or display of, a specific archival document.

19.00   The scope of acquisition is limited to the following categories of records:

(a)     Records of the University: Records created, received, used and maintained by the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University that are of enduring historical, legal, fiscal and administrative value, particularly those that document the functions, policies and decisions of the University;

(b)     Records of Affiliated Institutions: Records of those affiliated institutions, such as colleges, hospitals, or research institutes, that wish to enter into mutually acceptable internal transfer agreement, that document their relationship to the University;

(c)     Records of Campus Organizations: Records of faculty, student or alumni clubs, groups, societies and other associations that document the life of the University community;

(d)     Papers of Individuals: Papers of faculty, staff or other individuals associated with the University that document the life of the University community; and

(e)     Collections: Archival materials collected by individuals or organizations that document the history of the University or the life of the University community.

20.00   With the exception of University records, which are the sole purview of the University Archives, the acquisition of other archival materials will be carried out in cooperation with, and in consideration of the mandates of, other formally constituted archives. Items offered to the University Archives that appear to be more appropriately acquired by another archives will be referred to that institution for review.

21.00 The University Archives will acquire records by the following means:

(a) Internal Transfer: Transfers of official records will be received from the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University through the application of approved Records Retention and Disposal Schedules or, for non-scheduled records, by direct transfer from the creating unit. Where an agreement with an affiliated institution has been implemented, the records of that institution will also be acquired by this means.

(b) Donation: Donations of the records of campus organizations, personal papers, or collections will be accepted in accordance with terms negotiated by the owner and the University Archivist and documented in a formal donation agreement. All materials donated to the University Archives become the property of University.

(c) Loan: Short term loans of records of campus organizations, personal papers or collections will be accepted only for the purpose of making copies for reference purposes, where it has proven impossible to negotiate formal donation, or preparing and mounting a public display of archival materials. The original material loaned for copying will not be accessioned and will be returned to the owner as soon as the copying is completed and verified. Long term loans that do not involve the formal transfer of ownership will not be accepted.

(d) Purchase: Purchase of records which have been alienated from the University, records of affiliated institutions or campus organizations, personal papers or collections will be made only if it proves impossible to acquire the material by any other means and the items may otherwise be lost. Purchases may include direct sales or bids at auctions. All purchases are subject to the availability of funds and/or prior budget approval.

22.00 If requested by a donor, an appraisal of the fair market value of the donated material that is being kept by the University Archives may be determined. The appraisal will not be carried out until after the material has been formally acquired by the University. This process will be conducted in accordance with the regulations of the Canada Customs and Revenue Agency, Canadian Cultural Property Export Review Board, National Archival Appraisal Board, and established University practices.

23.00 At the discretion of the University Archivist, acquisition of materials other than University records may be carried out actively (identifying potential sources and soliciting donations) or passively (responding only to offers to donate). If a potential acquisition involves material of significant extent or value, details of the proposal and its implications will be submitted to the President's Advisory Committee on University Records & Archives for review and direction.

24.00 In special circumstances, the University Archives may consider acquiring materials that are outside the normal scope of acquisition activity in order to support research in a particular field. However, all such potential acquisitions must be submitted to the President's Advisory Committee on University Records & Archives for approval or referral, as appropriate, on a case-by-case basis.

Deaccessioning Archival Materials

25.00 Archival material in the possession of the University Archives may be permanently removed from its holdings through the process of deaccessioning if it is determined that it is no longer appropriate for the material to be retained.

26.00 All proposals to deaccession archival material must be submitted to the President's Advisory Committee on University Records & Archives for approval or referral, as appropriate.

27.00 Information about deaccessioned material will be kept by the University Archives and made available upon request.

Loans and Returns

28.00 Original materials in the University Archives do not circulate. If the temporary loan or return of material is requested, copies will normally be substituted for the originals.

29.00  At the discretion of the University Archivist, original materials may be loaned or returned to the originating office or donor for a specified period of time. Permanent loans or open ended returns are not permitted. Original material that has been loaned to the University Archives for copying or display purposes cannot be loaned to a third party without the express permission of the owner.

Access to Archival Materials

30.00  Unless otherwise specified below, the holdings of the University Archives are available for research and reference use by staff, faculty, students, alumni, researchers and the public.

31.00  University records transferred from their originating office to semi-active storage as part of the records management service have not been accessioned by the University Archives and do not form part of its archival holdings. These records remain the property of the originating office. All access requests received from anyone other than designated staff of the originating office will be referred to the unit head.

32.00  Restrictions on access to the holdings of the University Archives will be limited and specific and apply as follows:

(a)  Records of the University: Access is open to all authorized staff from the originating office. For all other users, both internal and external, access is determined by the unit head of the originating office in accordance with the University Guidelines on Access to Information and Protection of Privacy, any applicable federal and provincial legislation, and any other relevant internal agreements and documents.

(b)  Records of Affiliated Institutions: Access is subject to any restrictions agreed to by the University Archivist during negotiations with the originating institution.

(c)  Records of Campus Organizations: Access is subject to any restrictions agreed to by the University Archivist during negotiations with the creator and/or donor of the records.

(d)  Papers of Individuals: Access is subject to any restrictions agreed to by the University Archivist during negotiations with the creator and/or donor of the papers.

(e)  Collections: Access is subject to any restrictions agreed to by the University Archivist during negotiations with the creator and/or donor of the collection.

(f)  Unprocessed Material: Access to any unprocessed official University records, records of affiliated institutions or campus organizations, personal papers or collections may be restricted at the discretion of the University Archivist, pending a review to ensure that no personal or other confidential information is contained in the documents and to ensure that access is otherwise permitted in accordance with (a) to (e) above.

(g)  Fragile, Valuable or Rare Material: Access to originals may be restricted at the discretion of the University Archivist in order to protect them from damage or loss, in which case copies will be substituted for reference purposes.

33.00  Details of all access restrictions will be described in the appropriate archives finding aids.

# Job Descriptions

**UNIVERSITY OF CONNECTICUT LIBRARIES**
**JOB DESCRIPTION**

Area:      **Dodd Research Center**
Title:      **University Archivist/Curator of Political and Connecticut History Collections/University**
                 **Records Manager**
Rank:      **Associate Librarian**

**Job Summary**

Working in a team environment, the University Archivist/Curator of Political and Connecticut History Collections performs curatorial and functional duties in support of Archives & Special Collections programs. S/he works in close cooperation with the Area Head, other Curators and staff to plan and establish library and area goals and to ensure that established library and area collection and public service goals are met. S/he acquires new materials and provides reference services for collections in her/his curatorial area and serves on the Archives & Special Collections reference desk. S/he provides a leadership role in the planning and supervision of collection processing and coordination of records management tasks responsibilities between the University and the Connecticut State Library. Occasional evening and/or weekend hours are required.

**Duties and Responsibilities**

1. Collection Responsibilities
   - Works with donors and dealers to acquire Connecticut history and political collections, in addition to University related materials.
   - Responds to in-person, written, telephone and e-mail questions from researchers seeking information or support on political, state or University collections, including instruction in the use of materials and facilities to the public, on a regular schedule.
   - Provides general reference service on the A&SC Reference Desk.
   - Pro-actively pursues outreach activities and encourages use related to her/his collections by University of Connecticut faculty and students. Activities may include liaising with faculty/donors, exhibition, public programming, and publications, among others.
   - Participates in the arrangement, description, processing and overall care and preservation of her/his collections in accordance with area and professional best practices.
   - Proactively develops strong service ties with primary user groups inside and outside of the library and other service providers both on and off campus.
   - Serves as the University Records Manager and liaison with the Connecticut State Library for Records Management issues.

2. Electronic Resource Development Responsibilities
   - Responsible for development and maintenance of area website.
   - Responsible for the development and creation of web delivered curatorial resources.
   - Provides a leadership role in developing and implementing electronic projects involving political, Connecticut history or University Archives collections.
   - Develops and writes grant proposals supporting collection-related projects.

3. Rights Management Responsibilities
   - Serves as the resource person for copyright and rights information on collections in her/his curatorial areas.

4. Service, Scholarly and Professional Activities
- Actively serves on library, University and professional committees relevant to individual skills and responsibilities.
- Participates in regional, national and international professional organizations.
- Maintains current awareness and attends appropriate training to keep abreast of technology development, management and support issues.

5. Area Program Development Responsibilities
- Serves as a member of an area team that carries out specific functional activities and achieves specific strategic goals.
- Works closely with individual and area team members to ensure that area/team goals and objectives are met and to achieve an efficient and collegial environment.
- Assists in the preparation of area grants, budgets and reports as needed.
- Recommends expenditures of endowment funds to the area head related to her/his curatorial area.

6. Library Program Development Responsibilities
- Understands and communicates the vision, mission and priorities of the Libraries and the area in order to achieve established goals.
- Participates in the planning and decision-making process for Libraries, area, and team goals.
- Participates in Library teams as appropriate to the duties of the job and the expertise of the incumbent.
- Focuses on quality service and continuous improvement.

7. Other Duties as Assigned

**QUALIFICATIONS**

## Required

1. ALA-accredited MLS degree or equivalent.
2. Experience in developing digital collections in a library/archives environment including knowledge of standards for digital capture, metadata creation and delivery mechanisms.
3. Knowledge and experience in web design and development.
4. Demonstrated ability to work effectively and diplomatically with a diverse group of researchers, donors and staff.
5. Knowledge of and experience with database management software.
6. Excellent oral and written communication skills
7. Three years post-MLS experience working in archives and/or special collections

## Preferred

1. Subject knowledge of one or more curatorial areas
2. Knowledge and experience in web applications development.
3. Evidence of scholarly and professional achievement.
4. Training or experience in records management and collection development.
5. Graduate degree in humanities or social sciences
6. Active library and/or archival involvement at the regional or national level.
7. Successful supervisory experience of students, volunteers and grant staff.
8. Experience in an academic research library.

**Position: University Records Manager**

Under the direction of the Director of the Division of Rare and Manuscript Collections, the University Records Manager will promote and coordinate an active program to manage university records in all formats, both paper and electronic, including working with university staff on the maintenance, transfer, and disposition of records. The Records Manager also will actively participate in the integrated programs of the Division of Rare and Manuscript Collections.

**Duties and responsibilities:**

**1. Records Management**

A. Work with university administrators, faculty, and staff on the disposition of records in all formats, recommending retention and disposal policies and assisting with decisions on particular files.

B. Manage transfers of university files and faculty papers to the Archives, including instructing office staff in university departments in preparing records for transfer.

C. Conduct surveys of administrative records in university departments.

D. Train and direct the work of Records Management Assistants for colleges and other units.

E. Monitor the Cornell University Records Retention Policy, working with the University Archivist, the Counsel's Office, and the Policy Office to interpret the policy and to provide for operational changes.

F. Maintain a current awareness of records issues throughout the University, including electronic records issues.

**2. Electronic Records**

A. Work closely with RMC, DLIT, and other Library staff to ensure effective acquisition, preservation, management, future migration, access to and security of university records in electronic records acquired by RMC.

B. Investigate electronic record keeping practices in university offices, arrange for preservation of records of long-term significance as defined by university records schedules, and plan future best practice for the long-term storage management and access of records from those offices.

C. Assist University Archivist and other curators in the appraisal and selection of electronic materials from donors of personal collections

D. Represent RMC in discussions with other library and campus offices concerning issues of common concern regarding the preservation and management of university records in electronic form.

### 3. Technical Services

A. Create and update permanent original machine-readable bibliographic and authority records in the MARC format, based on an in-depth understanding of appropriate cataloging standards, for university record series and other archival collections.

B. Arrange, organize, and describe complex manuscript collections, creating detailed EAD finding aids

C. Supervise staff and student assistants in processing manuscript collections and creation of finding aids

D. Investigate and implement new methods of providing access to manuscript collections.

### 4. Public Services

A. Facilitate access to Cornell's holdings, providing reference services to the public at the reference and security desks and responding to mail and telephone reference inquiries.

B. Foster administrative, classroom and research use by Cornell staff, faculty, students and others through instruction sessions, workshops and public presentations.

C. Prepare Web sites, exhibitions, and publications focusing on Cornell's holdings and programs.

### 5. Other

A. Contribute to the public affairs functions of the Division.

B. Participate in CUL committees and groups.

C. Actively participate in professional activities of appropriate archival, records management, historical, library, and information management organizations.

May work with dusty materials. Must be able to lift 20 to 40 lbs.

**Records Management Specialist**

**Main Function:**

Under the supervision of the Preservation Librarian and under the guidance and direction of the University Records Manager, the Records Management Assistant will develop, promote, and coordinate an active records management program for the College of Agriculture and Life Sciences (CALS), including working with CALS faculty and staff on the maintenance, transfer, and disposition of records and papers. The Records Management Assistant will also provide reference assistance relating to CALS history and participate in other collection development activities in Mann Library. Provides training and supervision to student assistants, who will assist in processing materials.

**Duties and Responsibilities:**

❑ Provides a full range of acquisitions activities for complex materials:          60%

  ▪ Assists CALS administrators with the maintenance, transfer, and disposition of records in all formats, overseeing retention and disposal policies and assisting with decisions on particular files.

  ▪ Assists in the transfer of college files and faculty papers to the University Archives, including instructing office staff and faculty in preparing records for transfer.

  ▪ Develops and disseminates descriptive information about the program to CALS faculty and administrators.

  ▪ Refers materials to preservation and conservation for treatment.

❑ Prepares finding aids:          15%

  ▪ Prepares detailed finding aids to college records series, based on knowledge of relevant subject areas and archival principles.

  ▪ Arranges, describes, and indexes archival records.

❑ Reference assistance:          10%

  ▪ Provides reference assistance, using specific subject knowledge about the history and operations of the College of Agriculture and Life Sciences, its offices, programs, and faculty.

    ❑  Supervise:                                      10%

          ▪  Hires, trains, and supervises student assistant(s) assigned to the program.

    ❑  Other duties as assigned, including serve as a member of Mann Library     5%
        Committees.

**Minimum Education and Experience Equivalency:** Bachelor's degree or other formal training program of four years or equivalent; 1 to 2 years experience or equivalent.

**Impact:** Moderate

**Contacts:**
    Inside: Assists others
            Cooperation of task completion
            Handle confidential information

    Outside: Provide guidance, counsel, and information to faculty and
             administrators in CALS.

    Students: Some contact

**Supervision:** Responsible for providing guidance, counsel, and information to faculty
             and administrators in CALS.
             Students.

**Complexity:** Frequently adapt, combine, or make improvements to services, products,
            processes, or programs.
            Work requires reasoning skills and judgment.

**Level of Decision-Making:** Responsible for making decisions about working within
                  prescribed limits and providing input to others for decision-
                  making.

**Effect of Decision-Making:** Directly affect a functional area within a department.
                  Minimal effect on students and employees.

**Freedom of Action:** Very general supervision.
             Interpretation of work policies and procedures, and at times, deviation
             from standard work practices.

**Working Conditions:** May work with dusty materials. Must be able to life 20 to 40 lbs.

| | PSTN#: ASTL 13 |
|---|---|
| | CLASS: Librarian IV |
| **POSITION:** Head, University Archives & Records Management | |
| **DEPARTMENT:** Hargrett Rare Book and Manuscript Library | |
| ***JOB SUMMARY:*** | |

The Head of University Archives and Records Management is responsible to the Director of the Hargrett Rare Book and Manuscript Library for the development and management of the University Archives, the historical records of the University of Georgia, and the University Records Management program, which handles official university records as prescribed by state-wide guidelines. The position supervises 4 full-time staff, as well as student employees, and participates in the general activities of the Hargrett Library. The Hargrett Library has six professional positions and nine staff positions who work with collections of rare books, images, materials relating to the state of Georgia, manuscripts, university archives and official university records. Some weekend work is required.

| PERCENTAGE: | DUTIES AND RESPONSIBILITIES: |
|---|---|
| | Develops and manages the university archive program by creating and applying development policies; directing and participating in soliciting, evaluating, organizing and conserving materials, and creating access records and finding aids. |
| | Develops and manages the university records program by interpreting and promoting awareness of state regulations and schedules; developing local policies for dealing with records; directing and participating in the intake, evaluation, recording and disposition of records, and overseeing the access services used with such records. |
| | Promotes awareness of the collections by aiding researchers, creating displays, editing and producing guides to the collections, maintaining a viable presence on the internet and working in cooperation with Digital Library of Georgia initiatives to develop electronic archive resources. |
| | Maintains the effective operation of the unit staff by directly hiring, training and supervising three staff members involved in the daily operation of the unit and advising on the hiring of an additional staff member and student employees. |
| | Supports research in the Hargrett Library by staffing public service points as needed, providing general reference service and participating in planning meetings. |
| | Contributes to the Hargrett Library, as well as the Libraries, by maintaining awareness of changes in the organization, contributing to the development of policies and procedures, and serving on appropriate Libraries' committees as assigned or elected. |

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| | Develops and maintains professional skills by participating in continuing education and professional development actives, such as workshops and conferences; staying current with the professional literature and engaging in research or other creative activities. |
| | Participates in library-wide communication by reading, responding to, and initiating information transmitted via GRAPEVINE, Library Update, and appropriate library-wide or departmental meetings and asking questions, seeking clarification, or initiating discussion on library issues. |
| | Maintains flexibility and awareness of changes and needs in the department and organization by assuming similar duties and responsibilities as assigned. |

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| \* = essential function of the position | |
| ***Qualifications:*** | |
| **Education, Experience, Licensure, Certification required:** | |
| **Knowledge, Skills, Abilities and/or Competencies required to successfully perform work:** | |
| **Preferred Qualifications:** | |
| **Physical Demands:** | Sitting for long periods of time at a computer terminal is required. Position also entails lifting boxes weighing approximately 35 pounds each. |
| **Work Hours:** | M – F; 8 hrs/day; some evening and weekend work may be required. |

| | PSTN#: CLRMN 40 |
|---|---|
| | **CLASS:** Records Manager |
| **POSITION:** Records Manager | |
| **DEPARTMENT:** Hargrett Rare Book and Manuscripts Library | |
| ***JOB SUMMARY:*** | |

The Records Manager is responsible to the Head, University Archives and Records Management for the maintenance, retention, preservation, access and disposal of University records. This includes the supervision of the Records Center staff and facility; the development and maintenance of all related policies, procedures, manuals and training materials for the program. The incumbent will provide outreach to university departments on their responsibilities in managing information through the use of their retention schedule. The Records Manager also will research and implement innovative changes in the program in order to strengthen its legal status while understanding the specific needs of each department in managing information while preserving the integrity of the program. Work is performed independently subject to periodic review and requires the use of discretionary judgment and acceptance of considerable responsibility.

| PERCENTAGE: | DUTIES AND RESPONSIBILITIES: |
|---|---|
| % | * Supervises daily operations of the Records Center by interpreting poli[  ] routines, and procedures, by providing information for faculty, staff and students and by resolving problems. |
| | * Formulates goals, objectives, and priorities for the Center by monitoring trends ; adjusting to changes in staffing, workloads, fiscal conditions, and the profession; devising and implementing methods for measuring success in meeting goals and objectives. |
| | * Maintains the integrity of the collections by coordinating policies governing the acquisition, utilization, security, destruction and conservation; preparing record disposition standards and by arranging and describing bibliographic information according to appropriate university and state policies and practices. |
| | * Maintains an atmosphere conducive to the development, productivity, and job satisfaction of staff members by supervising and evaluating staff and student assistants. |
| | * Ensures appropriate retention of University records by developing records management schedules with University offices, appraising office functions, and coordinating retrieval of records from University offices. |
| | *Promotes use of these records and the University Archives by providing reference and instructional services to the university community and the general public. |
| | * Serves as the Unit Web Editor by maintaining the website, acting as the liaison for the Unit to the Libraries' Web Editor, and by attending |

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| | Web Editors meetings. |
| | Aids in the development of University Archives by acting with Archives personnel to identify and process records of archival value. |
| | Participates in library-wide communication by reading, responding to, and initiating information transmitted via GRAPEVINE, Library Update, and appropriate library-wide or departmental meetings and asking questions, seeking clarification, or initiating discussion on library issues. |
| | Maintains flexibility and awareness of changes in the department and the Libraries and contributes to the team effort by assuming other similar duties and responsibilities as assigned. |

\* = essential function of the position

***Qualifications:***

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| **Education, Experience, Licensure, Certification required:** | Experience in a records management operation, preferably in an academic environment; Familiarity with records management and archival standards, practices and regulations; Knowledge of access, retention and appraisal issues |
| **Knowledge, Skills, Abilities and/or Competencies required to successfully perform work:** | Working knowledge of computer technology applications related to records management; Successful supervisory skills; Ability to establish and maintain effective working relationships; Effective oral and written communication skills |
| **Preferred Qualifications:** | College degree or significant coursework towards a degree preferred. |
| **Physical Demands:** | Ability to lift up to 50 pounds and work in a multi-level stacks environment |
| **Work Hours:** | M – F; 8 hrs/day; some evening and weekend work may be required. |

Rev. 3/01

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| | **PSTN#:** CLRLI 2B |
| | **CLASS:** Library Associate II |
| **POSITION:** University Archives Processing Assistant | |
| **DEPARTMENT:** Hargrett Rare Book and Manuscript Library | |

**JOB SUMMARY:**

The University Archives Processing Assistant is responsible to the Head of Archives and Records Management for processing records in both the Hargrett Library and the Records Center, aiding in the design of displays and webpages, providing reference service in archives and records and participating in general staff responsibilities in the Hargrett Library. Work is performed independently, subject to periodic review and may involve exercising some discretion and judgment in performing routine tasks. Some weekend work required.

| PERCENTAGE: | DUTIES AND RESPONSIBILITIES: |
|---|---|
| % | Processes archival records by selecting, arranging and describing materials in accordance with established practices and state records law; performing basic preservation measure; labeling containers and creating records to document locations of materials using MS Access and basic Internet design programs |
| | Instructs and advises archives and records staff and students in proper archival processing techniques |
| | Maintains order and security of manuscript collections by examining and reshelving them after their use. |
| | Provides public service to patrons by answering reference queries, retrieving materials from closed stack areas and assisting the public in the use of all sources and equipment in the Hargrett Library and the Records Center. |
| | Participates in user education and outreach by aiding in the preparation of material for exhibits and classes and in the preparation of webpages. |
| | Serves as the Hargrett Departmental Web Editor by maintaining the website, acting as the liaison for the Department to the Libraries' Web Editor, and by attending Web Editors meetings. |
| | Maintains flexibility and awareness of changes in the department and the Libraries and contributes to the team effort by assuming other similar duties and responsibilities as assigned. |

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| * = essential function of the position | |
| *Qualifications:* | |
| **Education, Experience, Licensure, Certification required:** | Bachelors degree AND two years related progressively responsible library experience; OR six years progressively responsible library, archives, information center or related work experience; OR any equivalent combination of experience, training and/or education from which comparable knowledge, skills and abilities have been achieved; |
| **Knowledge, Skills, Abilities and/or Competencies required to successfully perform work:** | Ability to perform routine tasks accurately with close attention to detail and exercising some judgment; Relevant experience with appropriate computer software (relevant experience would include, but is not limited to, experience with MS Word, MS Access, DreamWeaver and Photoshop); Ability to establish and maintain effective working and customer relationships; Effective oral and written communication skills |
| **Preferred Qualifications:** | Experience in creating web pages and library experience preferred. |
| **Physical Demands:** | Ability to lift and move boxes weighting 30-40 lbs. and to work with a hydraulic lift |
| **Work Hours:** | M – F; 8 hrs/day; some evening and weekend work may be required. |

Revised: 03/07

| | **PSTN#:** CLRLI 2W |
|---|---|
| | **CLASS:** Library Associate I |

| **POSITION:** Records Technical Assistant |
|---|
| **DEPARTMENT:** Hargrett Rare Books & Manuscripts |
| *JOB SUMMARY:* |
| The Records Technical Assistant is responsible to the Records Manager for processing, inventorying, and referencing of archival and transitory records so as to fulfill the requirements of the Georgia Records Act 1972.  Processing work is performed in a networked environment using Microsoft Access.  Work is performed independently subject to periodic review following established practices and procedures.  The Records Management Department administers a records control program applicable to the more than 400 academic and administrative units of the University of Georgia.  The Records Technical Assistant supervises 1 – 3 student workers.  Being a unit of the Hargrett Rare book & Manuscript Library, Records Center personnel participate in Hargrett service activities.  Occasional evening and weekend work may be required. |

| *PERCENTAGE:* | *DUTIES AND RESPONSIBILITIES:* |
|---|---|
| % | * Assists in organizing accessions of incoming materials by receiving notices of transfers, applying disposition schedules, and entering data into a computerized inventory program using Microsoft Access. |
| | * Ensures that material is accessible by supervising the placement of material into the holding area and shifting the area as necessary. |
| | * Fills academic information requests by locating information as needed, maintaining computerized records of loans, shipping materials and placing returned material back into its proper place. |
| | * Assists in the transfer of material to University Archives by inventorying materials and adjusting records. |
| | Assists in the destruction of unneeded transitory material by applying disposition schedules, updating the computerized inventory, and preparing the material for transferal to an industrial recycling company. |
| | Supervises 1-3 student(s) by training, scheduling, assigning and evaluating work; monitoring and preparing student paperwork and timecards. |
| | *Maintains the security of the collection by observing the confidentiality of the information housed, following security procedures and supervising the operation and security of the |

| | facility in absence of Records Manager. |
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| | Provides service to customers of the Hargrett Library by serving at Hargrett public service points and participating in the weekend service rotation . |
| | Maintains flexibility and awareness of changes in the department and the Libraries and contributes to the team effort by assuming other similar duties and responsibilities as assigned. |

| * = essential function of the position | |
|---|---|
| ***Qualifications:*** | |
| **Education, Experience, Licensure, Certification required:** | Two years of college education AND one year related library experience; OR three years library, archives, information center or related work experience; OR any equivalent combination of experience, training and/or education from which comparable knowledge, skills and abilities have been achieved |
| **Knowledge, Skills, Abilities and/or Competencies required to successfully perform work:** | Ability to perform routine tasks accurately with close attention to detail; Ability to prepare clear and accurate records; Ability to establish and maintain effective working and customer relationships; Previous and accurate work experience using a computer and relevant experience with computer software required (i.e. – Microsoft Office, email) |
| **Preferred Qualifications:** | Experience in records management or comparable records work in an academic environment preferred; |
| **Physical Demands:** | Ability to lift and move boxes weighing 40 – 50 pounds and to work with a hydraulic lift |
| **Work Hours:** | M – F; 8 hrs/day; some evening and weekend work may be required. |

Revised: 4/01, 12/05, 8/06

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| | **PSTN#:** CLRLI 95 |
| | **CLASS:** Library Associate II |
| **POSITION:** University Archives Associate | |
| **DEPARTMENT:** Hargrett Rare Book and Manuscript Library | |
| **JOB SUMMARY:** | |

The University Archives Associate is responsible to the Manuscripts Librarian and Assistant Head, Hargrett Rare Books and Manuscripts Library for processing and transcribing archival records, coordinating University Archives activities, participating in the public service activities of the Hargrett Library and fulfilling Administrative and Scholarly research requests. Work is performed independently subject to periodic review following established practices and procedures. Some weekend work may be required.

| PERCENTAGE: | DUTIES AND RESPONSIBILITIES: |
|---|---|
| % | Coordinates the collection activities of the University Archives by retrieving materials from campus departments, preparing transmittal sheets for receipt of records, processing archival records, creating indices and catalogs of record holdings, and transcribing archival record copies to type transcription. |
| | Ensures access to the University's senior administrative record by curating the Presidential papers: processing, organizing, preserving said papers and providing departmental records management service to senior University Administrative Personnel. |
| | Supervises one to three student assistants assigned to University Archives by training and developing staff through effective communication and a fostering of shared goals that yields knowledge, productivity and dependability. |
| | Coordinates the destruction activities of the University Archives by destroying transitory records according to provisions of the Regents' Records Retention Schedule and in cooperation with the University Records Manager. |
| | Provides public service to patrons whether by mail, phone, fax, or in-person, including retrieval of materials from closed stack areas and preparing charge-out forms for temporary release of records, by assisting them in the use of all sources and equipment in the Hargrett Library and acting as a primary resource person for the University Archives. |
| | Ensures future access to archives by using preservation techniques, arranging, boxing, labeling, and typing the description for the department inventory. |

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| | Maintains stacks by shelving collections, straightening and reading shelves to ensure that materials are in proper sequence, identifies problems such as incorrect call numbers or materials that need to be repaired or bound, and identifying areas that need shifting. |

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|---|---|
| | Participates in library-wide communication by reading, responding to, and initiating information transmitted via GRAPEVINE, Library Update, and appropriate library-wide or departmental meetings and asking questions, seeking clarification, or initiating discussion on library issues |
| | Maintains flexibility and awareness of changes and needs in the Department and organization by assuming similar duties and responsibilities as assigned. |

| | |
|---|---|
| * = essential function of the position | |
| ***Qualifications:*** | |
| **Education, Experience, Licensure, Certification required:** | Bachelors degree (with coursework in history or related fields preferred) AND two years related progressively responsible library experience; OR six years progressively responsible library, archives, information center or related work experience; OR any equivalent combination of experience, training and/or education from which comparable knowledge, skills and abilities have been achieved |
| **Knowledge, Skills, Abilities and/or Competencies required to successfully perform work:** | Accurate typing skills; Ability to perform routine tasks accurately with close attention to detail; ability to prepare clear and accurate records; Comprehension of University's administrative hierarchy; Ability to establish and maintain effective working relationships |
| **Preferred Qualifications:** | Experience in archival techniques with the ability to handle old and fragile documents preferred. |
| **Physical Demands:** | Sitting for long periods of time at a computer terminal is required. Position also entails lifting boxes weighing approximately _____ pounds each. |
| **Work Hours:** | M – F; 8 hrs/day; some evening and weekend work may be required. |

Revised 2/02, 12/05

**Records Services Archivist**
**Manuscripts and Archives**
**Yale University Library**
**Rank: Librarian I or Librarian II**

**THE UNIVERSITY AND THE LIBRARY**
The University Library, which is a highly valued partner in teaching and research at the
University, has more than 11 million volumes housed in the Sterling Memorial Library and 22
school and departmental libraries. It employs a dynamic, diverse and innovative staff of nearly
600 FTE who have the opportunity to work with the highest caliber of faculty and students,
participate on committees and are involved in other areas of staff development. A full spectrum
of library resources, from rare books and manuscripts to a rapidly expanding network of
electronic resources, constitutes one of Yale's distinctive strengths. The Library is engaged in
numerous digital initiatives designed to provide access to a full array of scholarly information.
For additional information on the Yale University Library, please visit the Library's Web site at:
http://www.library.yale.edu/.

**Responsibilities**
Under the supervision of the Head of Records Services, the Records Services Archivist is
responsible for analyzing information holdings of Yale offices, assisting offices with the
management of active and inactive records, and defining the nature and scope of records to be
transferred from Yale offices to the University Archives.

Acts as the primary point of contact between the University Archives and Yale offices, providing
daily in-person, telephone, and written consultation with offices regarding records appraisal
according to retention schedules, destruction methods, organizing paper and electronic files, non-
permanent records storage options, and the preparation of archival materials destined for the
University Archives. Assists with the intellectual appraisal of records and helps determine if they
should be accessioned into the University Archives. Negotiates submission agreements and
determines how records will be transferred, facilitating the pre-processing of records by offices
prior to transfer, and identifying any issues, concerns, or special needs associated with the
records.

Gathers information about records under consideration, and records' context, in order to support
appraisal decisions and facilitate the actual transfer, processing, preservation, and use of records
(including collecting information on the administrative history of all offices that transfer records
to the archives). Provides training to University staff regarding all aspects of records
management. Provides reference service to Yale University offices and the research community
as needed. Assists with the arrangement and description of university records (including the
supervision of students) as needed. Engages actively and substantively in library, national and
international professional activities relating to the management, selection, care, and use of
university records.

**Qualifications**
Required:
Masters degree in library, archival, information studies, or in a related discipline. Appointment at

http://www.library.yale.edu/lhr/descriptions/Manuscripts%20&%20Archives/Records%20Services%20Archivist.doc

Librarian II level requires a minimum of two years professional archival experience and demonstrated professional accomplishments. Graduate education or professional experience in records management practices and techniques (records lifecycle concepts, retention schedules, legal and regulatory compliance, disaster recovery, etc.), records appraisal, and records description. Demonstrated problem-solving and multi-tasking abilities. Demonstrated oral and written communication skills. Demonstrated ability to work effectively in a team setting.

Preferred:
Knowledge of database form and report design (Access, MySQL). Experience providing service to customers with respect, responsiveness, and professionalism. Knowledge of federal regulations concerning recordkeeping requirements for university records. Experience with electronic recordkeeping systems. Experience appraising, describing, and preserving archival materials in a variety of formats. Experience in a university archives or university records management operation.

**Head of University Archives and Electronic Records Archivist**
**Yale University Library**
**Minimum rank: Librarian II**

**THE UNIVERSITY AND THE LIBRARY**

The University Library, which is a highly valued partner in teaching and research at the University, has more than 10.5 million volumes housed in the Sterling Memorial Library and 16 school and department libraries. It employs a dynamic and innovative staff of nearly 600 FTE who have the opportunity to work with the highest caliber of faculty and students, participate on committees and are involved in other areas of staff development. A full spectrum of library resources, from rare books and manuscripts to a rapidly expanding network of electronic resources, constitutes one of Yale's distinctive strengths. The Library is engaged in numerous ambitious projects such as the renovation of the main library building, the complete retrospective conversion of the Library's catalog, and various automation projects, which include network access to scholarly information and preservation imaging initiatives.

**MANUSCRIPTS AND ARCHIVES**

Manuscripts and Archives advances teaching and research by making primary source materials available for study and is open to the public. For over five decades, the department has assembled more than 17,000 linear feet of manuscript collections, donated by individuals and organizations, which document intellectual, legal social, religious, political, diplomatic, and economic history, and the history of Yale University. The department also houses the University archives and related materials. For additional information, please visit, http://www.library.yale.edu/mssa/.

**RESPONSIBILITIES**

Under the general direction of the deputy director, is responsible for directing the work of the University Archives and ensuring effective acquisition, description, preservation, future migration, access to and security of electronic records acquired by the department.

Establishes policies and procedures for the day-to-day operations of the University Archives program, including accessioning, office of origin requests, and backlog processing. Supervises the work of the records services archivist. Directs strategic planning for the unit. Serves as one of the main points of contact with the Secretary of the University, General Counsel for the University, and the Vice President for Finance and Administration.

Investigates electronic record keeping practices of donors, arranges for preservation of electronic records of long-term significance as defined by university archives and manuscript unit collection development policies, and plans future best practice for the long-term storage management and access of electronic records acquired by the department.

Works with library and campus information technology services to establish adequate technical infrastructure for long term preservation, security and access to electronic records of the university and of individual donors.

Recommends electronic records and digital preservation policies regarding description, capture, handling, access methods, and security based on sound archival and information management principles.

Participates in the formulation of departmental policy and procedures. Makes recommendations on personnel selection, staffing requirements, and equipment and supply needs. Provides reference service to Yale University offices and the research community. Working in a complex university library

environment in collegial fashion, contributes to the development and pursuit of overall University Library goals and objectives. Actively participates in and contributes to the archival profession.
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### QUALIFICATIONS

Required: Masters degree in library, archival or information studies, or related discipline. Minimum of two years professional experience in a university archives program. Experience with electronic records and digital preservation issues. Experience with relational databases. Knowledge of NT, UNIX, and inter-network communication standards. Knowledge of data storage methods, media and security. Demonstrated ability to communicate effectively, both orally and in writing. Demonstrated ability to plan, manage, and coordinate complex projects. Demonstrated ability to work effectively with colleagues, administrators, staff, patrons, and donors. Demonstrated contributions to the archival profession at the regional, national, and/or international level.

Preferred: Professional records management experience. Experience with creating and managing collections management systems. Reference, arrangement and description, or collection development experience in an archival setting. Programming skills.

http://www.library.yale.edu/lhr/descriptions/Manuscripts%20&%20Archives/mssa%20Library%20Service%20Assistant%20III.doc

**Library Service Assistant III**
ULS Manuscripts & Archives
Salary:　　C

Description:
General Purpose
Reporting to the Head of Records Services, the Library Services Assistant will be responsible for providing support for the administration of the archives and records management program for Yale University.

Essential Duties
1. Receive and establish control over incoming University records and donated materials by receiving/checking in materials, assigning accession numbers, labeling and bar-coding, preparing acknowledgments to offices and donors.
2. Re-house materials as appropriate to meet minimum standards as established by the department.
3. Enter cataloging and tracking information into existing and new information systems.
4. Under supervision, arrange, describe, and preserve archival records and prepares finding aids and management information.
5. Prepare notification to offices regarding records management actions (e.g., transfer or destruction reminders and authorizations.)
6. Assist in maintenance of Archives-related web offerings.
7. Work with Manuscripts and Archives reader services staff to receive requests for archival materials and retrieve items for offices and researchers as appropriate, and monitors the use of those materials in the departmental reading room.
8. Work with University offices to ensure the secure transfer of records to the University Archives.
9. Assist in the movement of departmental holdings and new accessions from donor sites.
10. Provide work direction to students and project staff assigned to University Archives, and records management tasks.
11. Contribute to the planning and execution of departmental programs, including the gathering and analysis of
management information.

Experience and Training
1. Four years of related work experience, two of them in the same job family at the next lower level and high school level education; or two years of related work experience and an Associate Degree; or an equivalent combination of experience and education.
2. Experience in an archival or library setting. Demonstrated ability to organize and handle assignments and to plan and prioritize a range of daily assignments.
3. Previous work experience must demonstrate accuracy, consistency, and dependability in record keeping, following procedures, and file maintenance.
4. Experience with automated systems and computers, especially word processing and database use. (Microsoft Office 2000)
5. Preferred: Experience working with University records or office filing systems. Familiarity with editing/creating bibliographic catalog records. Knowledge of or experience with a wide range of University functions or operations.
Experience with Sun OpenOffice, Corel WordPerfect & Paradox 8, and web design applications.
Knowledge of or experience with architectural drawings, photographs, sound recordings, or other audio-visual materials.

Skills and Abilities
1. Demonstrated ability to communicate effectively both orally and in writing.
2. Ability to climb ladders, push heavy book trucks and lift heavy materials up to 50 lbs., stand for extended periods of time, and occasionally work in an environment with dust and/or mildew present.
3. Flexibility and a willingness to work in a team setting.
4. References must indicate reliable attendance, punctuality, attentiveness, the ability to work with others in a team environment, and the ability to interact and communicate tactfully and effectively with a wide variety of patrons and staff.

# Inventory/Transfer Forms

# Records Management
### University of Cincinnati

## Simplified Records Inventory Form

| Administrative Area | Division |
|---|---|
| Department | Office |
| Records Officer | Phone |
| Inventory Completed By | Inventory Date |

*\*For the Description Field* - Include any unique information about the records, such as originating office, format (electronic or paper), volume, inclusive dates, how the record is used – i.e. as reference only for a specific amount of time, working papers to compile reports, etc.

| Accounting/Financial | Description |
|---|---|
| Audit Records | |
| Bookstore Requisitions | |
| Central Stores Orders | |
| Departmental Budget Ledgers | |
| Invoices | |
| Purchase Orders | |
| Small Order Forms | |
| Sundries | |
| Telephone Records | |
| Travel Authorizations/Expense Reports | |

University of Cincinnati Records Management

| Administrative Records | Description |
|---|---|
| Accreditation Files | |
| Committees | |
| Correspondence (Executive, General, Email) | |
| Reports | |
| Subject Files | |

| Legal | Description |
|---|---|
| Compliance | |
| Contracts and Agreements | |
| Grants | |
| Grievances | |
| Licensing | |

| Personnel – Staff, Student, and Faculty | Description |
|---|---|
| PAFs | |
| Payroll | |
| Resumes/Search Files/Applications | |
| Evaluations, RPT | |

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University of Cincinnati Records Management

| Publications | Description |
|---|---|
| Non-UC and UC produced | |
| Newsletters | |
| Equipment Manuals | |
| Photographs | |
| Web Page | |

| Student Records | Description |
|---|---|
| Class Lists | |
| Grades | |
| Transcripts | |
| Grade Change Forms | |
| Student Loans/Scholarships/Financial Aid Awards | |

The above are suggested Records Series Titles. Your area may have additional titles that do not appear on the above listing. Please add additional listings in the spaces provided below and/or on a separate page.

| Record Series Title | Description of Records |
|---|---|
| | |
| | |
| | |
| | |

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# Records Management
## University of Cincinnati

## Standard Records Inventory Form

| Administrative Area | Division |
|---|---|
| Department | Office |
| Records Officer | Phone |
| Inventory Completed By | Inventory Date |

**Records Series Title:**

**Description of Series:**

| Inclusive Dates | Are records still created?<br>❑ Yes ❑ No | Volume | Annual Accumulation |
|---|---|---|---|
| Filing Method/Arrangement | Storage Method | Purpose of Record | |

**Media Format(s) – list all that apply and specify sizes**
❑ Paper ❑ Electronic ❑ Microform ❑ Other:

| Audited?<br>❑ Yes ❑ No<br>**By:** | Confidential?<br>❑ Yes ❑ No | Vital?<br>❑ Yes ❑ No |
|---|---|---|

## For Records Management Use

| Retention Period and Justification | Comments |
|---|---|
| Archival material?<br>❑ Yes ❑ No | IUC Group |

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**DUKE UNIVERSITY LIBRARIES**

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# University Archives
in the Rare Book, Manuscript, and Special Collections Library

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**Duke history**
**Digital Collections**
**FAQs**
**Exhibits**
**DukeSpace**
**Links**
**Ask Archives**

RBMSCL / University Archives / About / Records Management

## Transferring Office Records to the University Archives

The University Archives is Duke's official archival agency, and is a department of Perkins Library. Our job is to identify, acquire, and preserve official University records that have enduring value for the Duke community, and to make them available in accordance with the policies of the Board of Trustees, Administration, and Faculty. Access to official records is regulated to safeguard confidentiality and privacy. Our staff will be happy to assist you in managing your office's non-current files.

**Types of Records to Transfer**

What records do you not refer to often, but could not do without? Records are sent to an archive because they are of long-term value, but are not needed for day-to-day administration.

As a rule, send the University Archives the significant and unique records that were generated or received by your office. Records are usually significant and have enduring value if (for example) they document policy development and precedents, major projects, or university rights and responsibilities; if their subject matter caused considerable comment on campus or in the media; if they involved litigation or large sums of money; or, if they have been vital to the operation of your office. A general guideline is to ask what material would be of use to a person writing a report on your office or a history of your department. Consider the potential uses of archived records; for instance, grant proposals often require historical narratives and statistics.

**Materials that are appropriate for archival status include:**

- Correspondence and subject files of the Dean, Director or Chair.
- Publications, such as newsletters and annual reports.
- Records of program or curriculum development.
- Departmental minutes; committee minutes and reports.
- Self-studies, histories, and accreditation reports.
- Records about symposia and special projects.
- Records about cooperative efforts with other institutions.
- Records about relationships with government, business, or industry.
- Photographs (if identified).
- As for what not to send, transactional records such as leave requests and purchase orders are not usually of long-term value.

The Archives does not have space for reprints, bulky artifacts, or more than two copies of reports and publications. Routine correspondence (for example, requests for course information and acknowledgments) is generally not valuable. Please don't send us your copies of the announcements, directives, and so forth that are distributed throughout the University; we get them too.

Through its Records Management Program the University Archives is developing schedules for offices to follow when they need to dispose of records. Those schedules will provide additional information about the types of records to transfer to the Archives or discard. Visit the Records Management homepage to view current records retention schedules.

**Questions?**

To contact the Archives about records transfers:

Voice: 660-5820

Fax: 660-5987

Ask Archives e-mail

http://library.duke.edu/uarchives/about/records-management/transferring.html

**Special cases**

- Faculty papers: the Archives is interested in acquiring records of an official nature. These will represent work of faculty or staff committees, or they'll document extra-curricular activities such as faculty-student interaction or town-gown relations. Due to Federal privacy laws governing student records, the Archives does not keep grade books, marked papers or material that might be considered part of a student's academic record.

- Financial records: see the Duke University General Accounting Procedures for information. The Archives will retain only year-end financial statements.

- Personnel records: contact the personnel division for information on the disposition of personnel records.

- Student records: grade reports, advisors' files, and other student-identifiable materials may be considered education records subject to Federal law. These should be handled according to the procedures specified in the University Policy Manual.

**Transfer Procedure**

1. Please use the boxes we provide. We have to make efficient use of limited space, and our facilities are set up to house these containers. Boxes are free of charge for records being sent to the Archives, and can be picked up here on any weekday. Records sent in boxes other than those provided or not having prior approval will not be accepted.

    - For letter-size files, 2 file drawers will require 3 boxes
    - For legal-size files, 1 file drawer will require 2 boxes.
    - For lateral files, 1 box will hold 1¼ feet of letter-size files, or 1 foot of legal-size files.

2. If you are sending records of distinct offices, committees, or organizations, please do not intermix them. Keep the records in the order in which they were used in your office.
3. Make a list of the folder titles, with their dates (**examples**). When you need to find something, this list will be invaluable. Think of folder title lists as an index to your office's records. In the coming years, more records will be stored off-site. Accurate folder lists will become essential for retrieving files you need. Be sure to include the name of your office on the sheet, and span of years represented by the files.
4. Do not send us records in hanging files or loose-leaf binders. We will not accept them. The hangers take up space and add weight. If records are in hanging files or binders, re-folder them into manila folders. Please do not send us loose, unfoldered paper. Do not use rubber bands on folders; they rot and leave stains. Leave a little wiggle room in the box; don't overstuff it.
5. Do not write on the boxes. We will put on a permanent label here. Attach a sheet of your letterhead to the box cover, with the date and name of a contact person, and label it To University Archives.
6. Deliver boxes to the loading dock at the rear of Perkins Library. The driveway beyond the Tel-Com building leads there. Please call beforehand, and if possible, someone will meet you. Offices on the main quad of West may find it easier to bring records in through the front of the Library; we can provide you with a hand truck.
7. When we've logged the records in, we'll send you a receipt. Please keep this for future reference. The accession number on it is what we use to keep track of your office's records.

*Duke University Libraries:* **Biological & Environmental Sciences Library | Divinity School Library | Ford Library | Law Library |**

**Lilly Library | Marine Lab Library | Medical Center Library | Music Library | Perkins/Bostock Library | Special Collections Library**

Last modified November 8, 2007 2:53:49 PM EST

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& RETENTION
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FORMS

Departmental
Records Officer
Form

File Retrieval
Form

Box Transfer
Form - Destruction

Box Transfer
Form - Storage

HARGRETT
LIBRARY

## UNIVERSITY OF GEORGIA RECORDS CENTER

### _Box Transfer Form for Storage_

The boxes with asterisk (*) must be filled. When done, press **SEND** at the bottom of the page.

(Please read guidelines for storage of records before filling out this form.)

Please call if you have any questions.

**Name***

**Department Name***

**E-mail Address***

**Telephone Number***

**Campus Address**

**Number of Boxes Being Sent**

**Years of Records Being Sent** (e.g. 1990-2006)

**General idea of content of boxes** (e.g. exams, financial reports, administrative papers)

**Board of Regents Retention Schedule reference for type of document.** (What Is the Retention Schedule?)

**Date boxes should be destroyed** (If there is no date for destruction please explain in the Comments/Special Instructions section).

**Comments/Special Instructions**

Send          Cancel

http://www.library.gatech.edu/archives/forms/records_transfer.pdf

**Georgia Institute of Technology**
**Archives and Records Management Department**
**Records Transfer Memorandum**
Complete and return to the Archives and Records Management Department, Library and Information Center (mail code: 0900).  Please type or print the upper portion of this form.

**1**

Office of origin: _____

Transferring records custodian: _____

Telephone number: _____

Campus building and room number: _____

Date:_____

**2**

Record type(s) or series:
Only one series or record type per form. Please indicate Board of Regents' retention category.

_____

_____

Number of boxes transferred:_____

Inclusive dates of records: From_____ to_____

Filing order of records: _____

Has this type of record been sent before?   ☐ Yes   ☐ No   ☐ Don't know

**Records office use only below this box.**

Accession number:_____

Transfer date:_____

Retention number:_____

Destruction date:_____

Location:_____

**Departmental Transfer Form**
**Permanent Materials**
**University Archives and Records Program**

Collection Name: _____

 Accession Number: _____

Description of records: _____

_____

Received From: (Individual and /or Department): _____

_____

Size: _____ Date Span: _____

Arrangement: _____

Record Series Name and Number: _____

Access Restrictions: _____

Location: _____

KUSI pick-up date: _____ KUSI Box Numbers: _____

Received by and title: _____

Date received: _____

6/17/2008

UNIVERSITY OF LOUISVILLE
UNIVERSITY ARCHIVES AND RECORDS CENTER

RECORDS INVENTORY AND TRANSMITTAL

**Complete sections 1 through 7.**  List the box numbers in ascending order in the column marked "box no.", below the line, and beside each box number list the titles of all folders or materials as they appear in that container.  The transmittal form should contain a folder title listing for each container transferred to the University Archives and Records Center.  (See "Records Transfer Procedures," available from UARC for further instructions.)  Save the form as [your department name] Transmittal.doc and e-mail it to the University Archives and Records Center at recmgmt@louisville.edu.  Keep a copy until you receive the completed form returned from UARC, which includes an accession number.  Please refer to this accession number when you request records or information from your records in UARC.

**To Be Filled In By Archives**

| Accession Number | Date Received | Total Boxes | LF |
|---|---|---|---|
| Received by: | Record Group | Location | |

1. Department:
2. Address:
3. Person In Charge of Records:
4. Telephone:

5. Box No.        6.  Folder Titles/Records Description                    7.  Inclusive Dates for each
                                                                                                         folder or other material

*A  G U I D E  T O  U S I N G  T H E  O S U  L I B R A R I E S*

# Transfer of Official Permanent Records to University Archives: An Overview

## Introduction

Special Collections and University Archives preserves university records of permanent value. Such records have continuing administrative, legal, fiscal or historical significance. By maintaining these records we can ensure that the important work done by your unit is documented for future generations.

Contact for information:
Room 204
Edmon Low Library
Phone: (405) 744-6311
libscua@okstate.edu

## Related Information

- OSU Policy and Procedures Letter 3-0190 www.okstate.edu/osu_per/policy_proced.htm

- Records Management Act, 67 Oklahoma Statute 205

- Consolidated Records Disposition Schedule, General and University and Colleges, www.odl.state.ok.us/oar/recordsmgt/grds-education.htm

- Oklahoma Open Records Act, 51Oklahoma Statute Supplement, Section 24A.1 et seq www.foioklahoma.org/OpenRecords.pdf

## What to Send to the Archives

- Records that document the organization, function, policies, procedures, operations, and essential transactions of the unit and friends groups

- Official correspondence and memoranda

- Committee minutes

- Publications and annual or other reports issued by your unit

- Photographs (please identify before transferring)

- Machine readable records accompanied by printed documentation

- Remove CONFIDENTIAL MATERIAL from files and make arrangement for its safe storage (only records that are exempt from the Oklahoma Open Records Act)

## What You Should Keep for Your Convenience

- Personnel records

- Routine and courtesy correspondence such as: acknowledgments, announcements, confirmations, invitations, itineraries, reservations, letters of transmittal

- Material not related to the function/administration of the office:
  - General distribution memos of other offices
  - Publications of other institutions

- Departmental copies of financial records such as:
  - Monthly budget statements
  - Purchase orders
  - Receipts, vouchers, work orders
  - Salary distribution forms

- Generally, if your office does not create a record, your copies are convenience copies and may be disposed of unless they contain confidential information

P:\HANDOUTS\FORMS\06-07\RecordTransfer.indd

# How to Transfer Official Records to University Archives

## Preparing your files:

❑ In order to correctly identify your records, consult the Consolidated General Records Disposition Schedule for State Universities and Colleges [available: http://www.odl.state.ok.us/oar/recordsmgt/grds-education.htm].

❑ Fill out a Records Destruction/Transfer Form (attached). If you have records for destruction, place them on a separate form. Make a copy for your records. Send original to University Archives, Edmon Low Library, Room 204.

❑ Records Destruction/Transfer Requests are reviewed on a regular basis. Transfer requests are acted upon immediately. You should receive a response within 5 working days.

❑ Place records approved for transfer in file folders with descriptive labels.

❑ Separate and label confidential materials.

❑ Replace hanging file folders with traditional flat folders.

❑ Label each box with your office name, box number (1 of 3, 2 of 3, etc.), the name of the records series, dates covered by the records, and schedule and series number (i.e., "UC GRDS, 5-15").

❑ Pack records in the order in which they were kept by your office.

❑ Prepare a list of folder titles for each box and place in the front of Box 1.

❑ Call University Archives at 405-744-6311 so that we may expect your records.

❑ If the volume of your records warrants, call Physical Plant at 405-744-7154 to arrange for transport of your records to Room 204, Edmon Low Library.

❑ You will receive confirmation from the University Archives that your records have been received. At that time you will be given the accession number assigned to your records. This number is used to identify the records should you need access to them.

❑ When the records have been processed and a finding aid has been prepared, you will receive a copy of the finding aid via campus mail. Generally this process takes 6-36 months depending on current receipts.

P:\HANDOUTS\04-05\RecordTransfer.pmd

http://www.library.okstate.edu/guides/general/images/recordtransfer.pdf

**OKLAHOMA STATE UNIVERSITY**
**NOTICE OF ITEMS FOR DESTRUCTION OR FOR TRANSFER TO ARCHIVES**

[ ]    **Request to destroy records**
[ ]    **Request to transfer records to University Archives**

DEPARTMENT_____ DATE PREPARED_____

CONTACT PERSON_____ EXTENSION_____

| Inclusive Dates | *General Records Disposition Schedule Records Series # | Item Description & Volume (cubic feet) |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |

I hereby certify that, to the best of my knowledge, all state and federal audits have been completed and that no legal actions or investigations are pending for the above listed records.

_____
Dean or Administrative Officer

_____
Title

**MAIL TO:**    Kay Bost
University Archives
Edmon Low Library – Room 204
x47372
* Available: http://www.odl.state.ok.us/oar/recordsmgt/grds-education.htm
For Office Use Only

ACTION:
Approved                                                    Taken (date and initials)
[ ]    Destruction of Records-Suzanne Frits        [ ]_____, _____
[ ]    Destruction of  Records-Univ. Archives      [ ]_____, _____
[ ]    Send to University Archives                     [ ]_____, _____
[ ]    Department to retain until                        [ ]_____, _____

Copy To:        University Archives

G:\Records\DestroyTransferRequest.doc                              Last revised 18 July 2005

http://libweb.uoregon.edu/records/transmittal_instructions.html

**O | UNIVERSITY OF OREGON**

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### Instructions for Transferring Non-Permanent Records

#### Preparing records for storage

Storage is available for inactive records of departments and offices on campus. An inactive record is one that is no longer needed on a regular basis for business purposes. Inactive records storage is for non-permanent records, if you think you have a group of permanent records, contact the University Historian/Archivist at 6-1899.

Legal custody of records stored in the University Archives inactive records storage remains with the originating department and consequently access is limited to staff of that department and of the University Archives.

Please note the following:

- We no longer accept records into storage that have 3 years or less left on their retention period.
- We are unable to fulfill more than 15 file requests per month for each department.
- Do not send records in envelopes or send one or two random files at a time.
- Do not send materials which are not considered to be "record" material, such as magazines, books, newspapers, etc. which were not produced by the University of Oregon or by University of Oregon personnel.

If you are unsure about identifying these materials or you think you have a special case, please contact the Electronic Records Archivist at 6-1905.

**Step 1: Identifying and Preparing Records.**

1. Before preparing boxes for transfer, review the records retention schedule to identify the records series that are to be sent.
2. Box the records with care. Please do not box multiple records series in one box. A record series is one type of record, as defined in the records retention schedule; search records would be a good example of one record series. If you are sending records from the same series with a large date span (greater than 1 year), please box the years separately. This ensures the proper and timely disposition of university records.
3. Do not remove records from the folder in which they were placed, unless they are in hanging folders. Hanging folders need to be replaced by standard file folders. Please do not overfill boxes. Overstuffed boxes pose a safety hazard and can damage the records.
4. Place records in standard records storage boxes (W=12\" X L=15\" X H=10\") with lids and handles. If you have odd size items or records that do not fill an entire box, please contact University Archives.
5. Create a box/folder list for each box. The list needs to indicate the box number, date range of materials, record series titles from the retention schedule and folder titles.

**Step 2: Sending the Transmittal.**

1. Fill out a Transmittal Form and send it **AND** a copy of the box/folder list to University Archives, Attn: Erin O'Meara. Make sure that you fill out all appropriate sections of the transmittal form and make a copy of the form and box/folder list for your records. Use only one transmittal form for each shipment of records. When describing records, please use the record series titles as indicated in the records retention schedule. This helps us process the transmittal and manage the records more efficiently.
2. Please do not allow students to sign the form or act as a contact person for the transmittal process. We are trying to develop a list of staff members on campus who have the responsibility for maintaining the records for each department.

**Step 3: Coordinating the Delivery.**

1. Someone from University Archives will confirm the receipt of your transmittal request via e-mail or phone.
2. University Archives will send you a memo that describes the delivery process. Also included in the envelope will be labels to affix to the boxes. Place the labels on the front of the box (narrow side) so that it corresponds with

the direction of the folders inside. The accession number for the transmittal is printed on each label. Please record this number on your copy of the transmittal. You will need this number if you request folders from these boxes. Write the box number on each label as it relates to the box/folder list. Use thick black marker for visibility.

3. Because staff is not at Baker Downtown Center on a regular basis, we will provide a range of dates and times that you can choose from for delivery. Someone from your office may bring the boxes to Baker Downtown Center themselves or you may request Facilities Services to pick up and deliver the boxes. Once you have a date set, please confirm the date with University Archives to ensure someone will be there to receive the boxes.

The Transmittal Form

If you have any questions or comments, please contact:

Erin O'Meara, Electronic Records Archivist
Office: x6-1905
erino@uoregon.edu

Maintained by: E. O'Meara, erino@uoregon.edu
Last Modified: 01/04/2008

University of Oregon | 1501 Kincaid Street | Eugene, OR 97403-1299 | T: (541) 346-3053 | F: (541) 346-3485

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**YALE UNIVERSITY:** Information for Yale Offices. Inventory Template

http://www.library.yale.edu/mssa/ua_inventory.html

## MANUSCRIPTS AND ARCHIVES

HOME   ABOUT MANUSCRIPTS AND ARCHIVES   INFORMATION FOR RESEARCHERS   RESEARCH TOOLS   UNIVERSITY ARCHIVES

Introduction | Retrieval Request Form | Records Schedules | Archives Inventory Template | Contact Us

**INFORMATION FOR YALE OFFICES :: INVENTORY TEMPLATE**

All records transferred to the the University Archives must be accompanied by an electronic inventory using our template. The preferred format is Microsoft Excel. We will also accept Microsoft Word.

- Excel template [with instructions] (preferred)

- Word template [with instructions]

If you have any questions or need help completing the inventory, please contact us at archives@yale.edu.
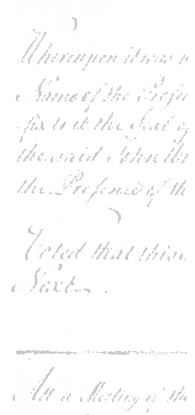
Home | Yale University | Yale University Library | Contact Us | Search this Site

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### Instructions for Creating an Inventory:

1.  **Save** this inventory to your desktop (or to an appropriate folder on your computer).
2.  Open inventory & click on the **About the Records** tab.

3.  Enter the **name of the office** responsible for creating/maintaining the records in the field marked **"Creator."** Do NOT enter your own name. (e.g. School of Architecture. Dean's Office.)
4.  Give a brief **description** of the **content** of the **records,** including **span dates** (e.g. Administrative and financial records of the Dept. of Manuscripts and Archives, ca. 1791-1993).
5.  Enter the name of **the departmental contact** and their **telephone number.**
6.  **Click** on the **Inventory** tab.
7.  As file folders are packed into archival boxes, follow these steps:
    〈   **Description.** Enter the title of each folder in its own row of the description column.

       **Note**: When necessary, include higher-level categories that describe a series of folders, such as the descriptions found on file cabinet labels, in boldface type and use the increase indent button to indent those file folders that correspond to that particular category. (see **Example Inventory**)
    〈   **Date.** Enter the span dates of materials in the folder in the corresponding "Date" column. Accepted formats include: 1997, 1997-1998, 1997 Dec 13, or ca. 1997.

    〈   **Box.** Enter the box number that the file is assigned to in the corresponding "Box" column.

    〈   **# of Folders.** Enter the number of folders the file fills in the corresponding "# of Folders" column (e.g. a budget file may consist of 3 folders, while a student's file may contain just one). **Note**: This is **NOT** intended for sequential numbering of the folders, only for noting the total number of folders for a particular topic, subject, etc.
8.  Email the electronic file as an attachment to archives@yale.edu

Questions can be sent to archives@yale.edu.

Request/Retrieval Forms

RECORD CENTER (860) 721-2041 FAX: (860) 721-2055
REFERENCE REQUEST
RC-200 REV. 9/99

| AGENCY AND SECTION | | | DATE REQUESTED | AGENCY CONTACT | PHONE # |
|---|---|---|---|---|---|
| REASON NOT FILLED | SENT | DETAILED INFORMATION | R/C LOCATION | DATE RETURNED | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | TOTAL REQUESTS THIS PAGE | | | |

http://www.libs.uga.edu/recman/request_form.html

University of Georgia Libraries

# HARGRETT
RARE BOOK & MANUSCRIPT LIBRARY

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POLICY

RECORDS
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Departmental
Records Officer
Form

File Retrieval
Form

Box Transfer
Form - Destruction

Box Transfer
Form - Storage

HARGRETT
LIBRARY

## UNIVERSITY OF GEORGIA RECORDS CENTER

### *Records Request Form*

If you need multiple files pulled it is suggested that you e-mail ( reccentr@arches.uga.edu )
or fax (227-5335) the file requests to us. The boxes with asterisks (*) must be filled.
Please request only one item on the form. When done, press **SEND** at the bottom of the page.

**Name***

**Department Name***

**E-mail Address***

**Telephone Number***

**Campus Address**

**File Name(s)**

**Comments/Special Instructions**

**Location (if known)**

[ Send ]          [ Cancel ]

Contact the Records Center:

Phone (706) 369-5926 | FAX (706) 227-5335
reccentr@uga.edu

Libraries

Last Update: September 04, 2003
Comments to: vjackson@uga.edu
Copyright © University of Georgia. All rights reserved.
URL=http://www.libs.uga.edu/recman/request_form.html

http://www.library.gatech.edu/archives/records_retrieval.html

**Offsite STORAGE**
**Retrieval request Form**

**Patron's name:** _____
**Date requested:** _____

**Patron Phone #:** _____
_____ **(am *or* pm)** *allow 2 business days for delivery*

**Title of Collection or Periodical:** _____
**Manuscript Number:** _____
**Collection Box Number(s):** _____
**Periodical VOLUME AND YEAR:** _____
*Periodical requests maybe delayed if* **VOLUME AND YEAR** *not supplied.*

**SCDP Reference Contact:** _____
**Date Patron notified:** _____

Date KUSI contacted: _____
Date order received: _____

<u>FOR UARP OFFICE USE:</u>
KUSI number(s): _____

# MANUSCRIPTS AND ARCHIVES

HOME   ABOUT MANUSCRIPTS AND ARCHIVES   INFORMATION FOR RESEARCHERS   RESEARCH TOOLS   UNIVERSITY ARCHIVES

Introduction  |  **Retrieval Request Form**  |  Records Schedules  |  Archives Inventory Template  |  Contact Us

**UNIVERSITY ARCHIVES :: RETRIEVAL REQUEST**

Authorized staff from Yale University offices may request files from accessions transferred from their offices to Manuscripts and Archives. If you are not authorized, proceed with the form below and on the next page detailing the records you wish to request and you will be contacted by the University Archives about authorization.

Please enter your email address and the Record Unit (RU) Number that contains the records you are requesting.

Email: _____

Record Unit Number: _____

( Continue )
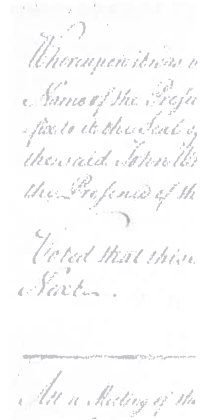
# Records Retention

# UBC Archives - Records Management

Home    Archival Resources    University History    Records Management    Virtual
Displays    Search

## Records Retention Schedule and Disposal Authorities (RRSDAs)

**Note:** These are *draft* records retention guidelines, and have yet to be officially approved by the University. They are presented here for the information of record-keeping staff in UBC offices and departments. If you have any questions or comments, please contact us.

- **Awards and Financial Aid Records - 001**
  - Student Financial Aid Dockets - 001-01
  - Unsuccessful Financial Aid Applications - 001-02
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**DUKE UNIVERSITY:** University Records Retention Guidelines

http://library.duke.edu/uarchives/about/records-management/retention_guidelines.html

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## University Records Retention Guidelines

- Administrative and Management Records Effective January 11, 2005

- Development and Alumni Affairs (Draft)

- Duke University Press Effective January 20, 2005

- Facilities Management (Draft)

- General Accounting Records (GAP #200.240) Effective December 1987; revised November 2003

- Public Affairs, News, and Communications Records Effective June 22, 2005

- Recommended Retention and Disposition Guidelines for Medical Center Records

- Research with human subjects Effective May 5, 1994 (Office of Research Support Data Retention Policy)

- Student Affairs Effective May 4, 2005

- Student Records Effective July 21, 2004

| Links |
| --- |
| • Destruction of Accounting Records (GAP #200.250) |
| • University Registrar Records Policy |
| • Destruction of non-permanent records |
| • Documenting the disposal of unscheduled records |

*Duke University Libraries:* Biological & Environmental Sciences Library | Divinity School Library | Ford Library | Law Library |

Lilly Library | Marine Lab Library | Medical Center Library | Music Library | Perkins/Bostock Library | Special Collections Library

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**UNIVERSITY OF GEORGIA:** Records Retention Guidelines

http://www.usg.edu/usgweb/busserv/guidelines/

**Records Management**
University System of Georgia

Contact Us!

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# Records Retention Guidelines

The intent of the Records Retention Guidelines is to establish consistent record retention practices by member institutions of the University System of Georgia, in order to allow ongoing compliance with federal and state law, including the Georgia Records Act (O.C.G.A. 50-18-90 et seq.), and to meet requirements of external entities, such as accrediting bodies. The Guidelines consisting of a list of more than 400 different types of records organized into 19 categories, have been developed from inventories submitted by the 34 institutions and should be consulted to determine the minimum retention time for a particular type of record.

The Guidelines are not intended to be exhaustive in scope nor will each institution necessarily generate all of the records listed. Certain types of records may also appear under two or more categories. The retention period for each listed record in the Guidelines is the minimum period of time that an institution must maintain that particular record to meet legal and/or fiscal governmental directives, if available. If no such retention criterion exists for a particular record, the retention period is the Georgia statute of limitations for legal claims, plus one year, applicable to that type of record. Maintenance of a record in excess of the retention period, the physical location of records during the retention period, and the media selected to maintain records are institutional decisions to be influenced by the resources and needs of each institution, although an internally consistent retention practice is encouraged within each institution.

The Board of Regents Office Resources administers the Records Retention Guidelines and is the source for information and /or answers to questions concerning implementation of the Guidelines. The Coordinator of Office Resources shall approve all additions to, deletions from, and revisions of the Records Retention Guidelines.

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Last modified: September 16, 2007.

**Georgia Tech** — Archives and Records Management

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· Transferring Records
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*RETENTION REQUIREMENTS*

· Secure Destruction
· Vital Records
· Electronic Records

**RELATED RESOURCES**

**ARCHIVES**

**QUICK LINKS**
[ ·click-to-select· ▾ ]

## Retention Requirements

As a state institution, Georgia Tech is required to adhere to the guidelines set forth in the **Georgia Records Act** and the **Georgia Open Records Act**. Retention schedules, or guidelines, are created as a means to organize and classify records so that they can be maintained in accordance with legal requirements.

The Board of Regents of the University System of Georgia have created records retention guidelines for university system schools. These guidelines indicate the minimum amount of time institute records should be retained. Campus departments transferring records to the Records Center are asked to adhere to the Board of Regents' guidelines. These guidelines are available at:

▸ **Board of Regents Retention Guidelines**

If you have questions about organizing your records material, please consult Archives and Records Management staff.

---

### Georgia Open Records Act

As a public institution, Georgia Tech is subject to the Georgia Open Records Act. This law requires that all documents or records created and maintained by Georgia Tech, as well as those created by employees in the course of their work, be made available for public inspection upon request.

The law does exempt some personal and confidential information, such a Social Security numbers and proprietary information, from disclosure.

If your department receives an Open Records request, notify the Georgia Tech Office of Legal Affairs immediately. The Office of Legal Affairs' guidelines for handling an Open Records request are available at:

▸ **Open Records Act Procedures**

**RELATED DOCUMENTS:**

BOR Retention Guidelines

Record Transfer Form

Box Label

Record Retrieval Form

Records Decision Tree

# Records Decision Tree

**Is the document an original or official Georgia Tech business record?**

**Yes** → Check Board of Regents' Retention Guidelines for appropriate retention period

**No** → Retain only active records.

Shred or delete when material is no longer useful or current.

**End**

**Has the retention period expired?**

**Yes** → (to "Retain only active records")

**No** →

**Identify format**

*Electronic*
Identify retention period and move to secure file server.

*Hard copy*
Retain active records in current files; forward inactive material to Records Center storage.

Retain until retention period expires.

**Is the document relevant to any ongoing or anticipated litigation?**

**Yes** → Retain per procedures until litigation is settled.

Release record when legal hold is released; resume normal retention practices.

**No** →

**Does record have continuing historical value?**

**Yes** → Contact Georgia Tech Archives to determine disposition.

**End**

**No** → Seek authorization for destruction.

Shred or delete per GT procedures.

**End**

Plain Text Home Page                                                                                    Library News

**UIC** UNIVERSITY OF ILLINOIS
AT CHICAGO                                                                    University Library

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# Special Collections and University Archives
## UIC Records Management - Approved Records Schedules

A record schedule is a listing of types of records maintained by a campus unit. The record schedule establishes how long records must be retained, and how these records may be disposed of at the end of the retention period. According to Illinois state law, each campus unit must have an approved records schedule.

Record schedules that have been approved by the Illinois State Records Commission are available below in pdf format. If your unit has an approved records schedule and you would like to dispose of inactive records, you will need to submit a Certificate of Disposal form to the Illinois State Archives. This form is available for download here: Certificate of Disposal form

If your unit has historical records to send to the University Archives, please contact the Archives at 312-996-2742 or at ASK a Librarian

If you do not see a record schedule below for your unit, please contact the University Archives at 312-996-2742 or Ask A Librarian, and we will prepare one with you.

| 3 Office of the Chancellor | 6 - Architecture & Arts | 11 - Liberal Arts & Sciences | 12 - CUPPA |
|---|---|---|---|
| 13 - Applied Health | 16 - Medicine | 17 - Nursing | 19 - U of I Hospital |
| 20 - Public Health | 46 - Library | 53 - Admin. Info. Sys. | 54 - Admissions & Records |
| 59 - Office of Student Affairs | | | |

**3 Office of the Chancellor**

- 3/4 Vice Chancellor for Academic Affairs and Provost
    - Disability Resource Center
- 3/5 Vice Chancellor for Student Affairs
    - Office of International Services
    - Office of International Services
- 3/7 Vice Chancellor for Research
    - Office of International Criminal Justice
    - Office of International Criminal Justice
    - Office of Social Science Research
- Vice Chancellor for External Affairs
    - Community Relations

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**6 Architecture & Arts**

http://www.uic.edu/depts/lib/specialcoll/rda/RDA.shtml

- Jane Addams Hull-House Museum
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http://www.lib.iastate.edu/spcl/arch/retention.html

**e-**Library   IOWA STATE UNIVERSITY

**UNIVERSITY RECORDS RETENTION SCHEDULE**

To assist in the transfer of permanent records to the university archives:

General Records Retention Schedule  (revised January 2005)

These schedules were specifically developed for offices needing additional information about the permanent records coming to the University Archives:

Accounts Receivable Retention Schedule  (created December 12, 2003)

Controller's Office   (currently being revised)

Office of the Provost Retention Schedule  (currently being revised)

Student Records Retention Schedule  (created November 12, 2001)

For additional guidelines on the transfer of permanent records to the University Archives.

Background:
The university retention schedule was created in 1991, by the Iowa State University Records Management Committee.  The members were Ronald J. Ackerman; Jean W. Adams; Charles J. Deutsch; Larry H. Ebbers; Judy A. Hankins; James A. Hopson; Toni M. Johnson; Rabindra Mukerjea; W. Dean Nelson; Wayne O. Ostendorf; Dorothy A. Pimlott; Alan M. Russell; Ralph R. Sudbeck; Victor Tamashunas; Doyle E. Wilson; Stanley M. Yates; and Joyce Van Pilsum.

In 1997, the Committee, with the concurrence of the Provost, determined that the University Library would have responsibility for the transfer of permanent records to the University Archives and revise the Retention Schedule as necessary.  In 2000, the University Library created the position of the University Records Analyst.  The Analyst, in conjunction with the Head of the University Archives, works with university offices to ensure the transfer of permanent records documenting Iowa State.

[bottomnav.html]

search KSU [ go ]

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KENT STATE UNIVERSITY
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EXCELLENCE *in Action*

▼ Policy Register   ▼ Record Retention Schedule   ▼ Hold Harmless Data Sheet

**Main Topics:**
Frequently Asked Questions
Office Functions
Our Staff

**Announcements:**
Compliance Updates
University Outreach and Training
Legal Briefs: Search the E-Inside Archive
Vendor Code of Conduct and Supplier Diversity

University Counsel

## Welcome to the Records Retention reference site

### How to Navigate this Site:

- In the GOLD BAR above, click on the "Record Retention Schedule" link to open an additional five links.
- "Welcome" is the page you are on now.
- "Index by Area" directs you to a list of areas and the records retained by each area (along with the retention schedule).
- "Index by Record" is an entire listing of the records.
- "General Schedule" is a .PDF of the base records retention schedule.
- "Download Record Destruction Form" is the form to be used when a record reaches the end of its schedule and must be destroyed.
- Use the "Records Retention Schedule" to search the records database.

### Records Retention Introduction:

Pursuant to University Policy 3342-5-15, the Office of University Counsel has created this site to assist campus personnel in managing University records for which they are responsible.

The University has adopted the records retention schedules recommended by the Inter University Council (IUC) which are contained in this site. You will also find "General Schedules" adopted by the University for routine types of records.

Records listed in the General Schedules may be disposed of without approval of the Office of University Counsel. All other records for which you seek destruction require the approval of the Office of University Counsel and the University Archivist. Both of these officers are available to assist you.

Contact:
James R. Watson
Associate University Counsel
E-mail: jwatson1@kent.edu
Phone: (330) 672-2982
Fax: (330) 672-7821

Contact:
Stephen H. Paschen
University Archives
Email: spaschen@kent.edu
Phone: (330) 672-1639
Fax: (330) 672-9318

http://library.louisville.edu/uarc/recmgmt/scheds.htm

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UNIVERSITY OF
**LOUISVILLE**

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**LIBRARIES : UNIVERSITY ARCHIVES & RECORDS CENTER**

## Records Retention Schedules

Find the pertinent records schedules in the list below or search by keyword:

[Google Custom Search] [Search]

## University Retention Schedule (under construction)

General Schedule

> General Records – Fiscal
> General Records – Miscellaneous
> General Records – Personnel
> General Records – Student/Course Records

Individual Office Schedules

> Bookstore
> Bursar
> Central Stores
> Controller
> Department of Public Safety
> Food Services
> Medical Facilities
> Personnel Office
> Physical Plant
> Purchasing
> Real Property
> Sponsored Programs
> Student Affairs Financial Aid
> Technology Records

## U of L Internal Schedule – Records Not on Kentucky Model University Schedule

Questions about these procedures and schedules should be directed to the University Archives and Records Center at 6674 or by e-mail (this address is for use by university personnel only.)

Go to Records Management page

University Archives and Records Center | University of Louisville | Louisville, KY 40292 | Phone: 502-852-6674 | Fax: 502-852-6673
Site Index | Comment Form | Staff Intranet

# Records Management Program at MIT
Institute Archives and Special Collections

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Records

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## Records Retention Schedules

Financial Data Retention Schedules

Technology Licensing Office Records Retention Schedule

A **records retention schedule** is a document created to

- describe the records and indicate how they should be handled after they are no longer actively used.
- establish official retention periods and ensure timely disposition of the records according to their legal, financial, and historical value.
- ensure compliance with legal, financial, and other regulatory requirements of the organization.

The Institute records retention schedules remain in the custody of the Records Management Program, administered by the Institute Archives and Special Collections.

The first records retention schedules at MIT were established in the late 1970s and early 1980s. In 2002, the Financial Data Retention Project, initiated by the Institute Auditor to improve financial record-keeping practices at MIT, led to a comprehensive survey of the financial records created or received by the Controller's Accounting Office. A new set of financial data retention schedules was established and approved by the MIT administration (coming soon). Efforts are currently under way to update and/or create retention schedules for other types of Institute records (personnel, student, academic).

Please contact us for advice on how to create or update record retention schedules for your office or department.

Last modified 8/11/06

Departments, Laboratories, and Centers: How Long to Keep Financial Records

Intitute Archives and Special Collections
MIT Libraries
Massachusetts Institute of Technology
77 Massachusetts Avenue, Cambridge, MA 02139-4397 USA

MITLibraries

**OHIO STATE UNIVERSITY:** Records Retention Schedules

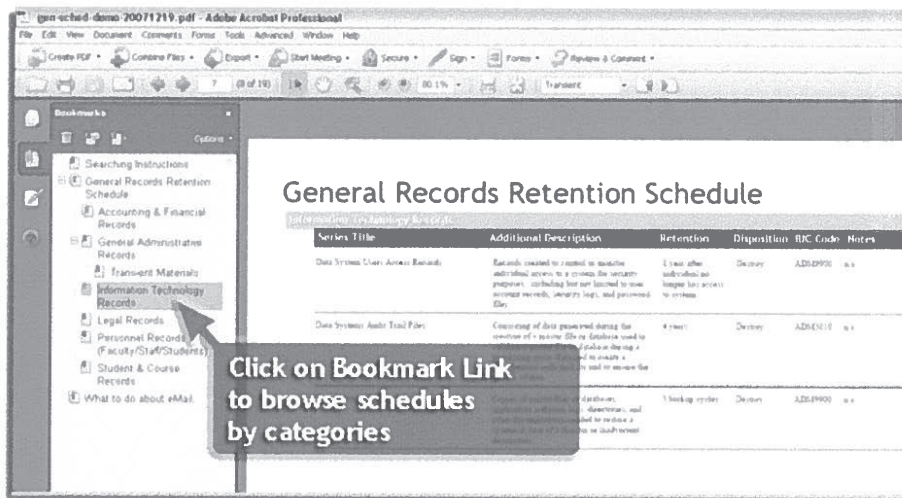http://library.osu.edu/sites/archives/retention/schedules.php

**This PDF Opens in "Full Page" View with Bookmarks along the left-hand side.**

**One can page through or scroll through the document manually browsing and searching…**
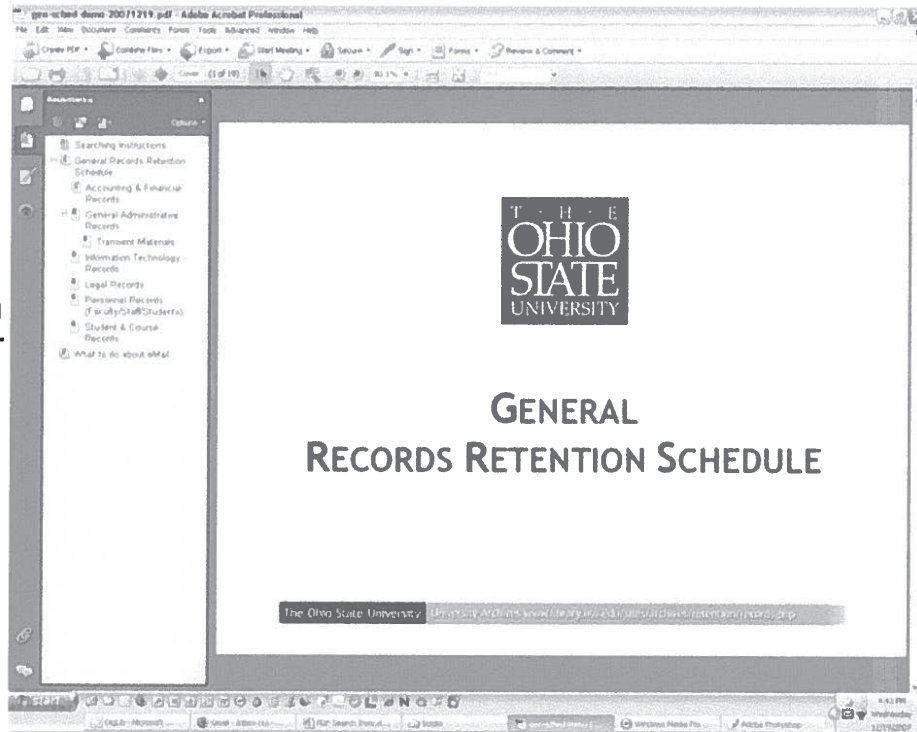
TOP OF PAGE

**…or one can "click" on a Bookmark and conduct a more targeted browsing search…**

Click on Bookmark Link to browse schedules by categories

TOP OF PAGE

http://libweb.uoregon.edu/records/schedule/

**O | UNIVERSITY OF OREGON**

# UO Libraries

⌐ Home  ⌐ Find Resources  ⌐ Research Assistance  ⌐ Library Services  ⌐ About the Libraries          :: Ask a Librarian :: My Account

## UO Records Retention Schedule

The site is intended to serve the needs of campus users. If you are having any difficulty searching, using, or understanding the Records Retention Schedule or the site, please contact the Electronic Records Archivist, Erin O'Meara.

- For basic access to the records retention schedule, please use the links to record series based on functional sections.

## Notice of Revision

The records retention schedule is now updated with the revisions from the 2003 review.

## What's a Records Retention Schedule?

A Records Retention Schedule is an important element in a system to identify and manage the records that document the activities and history of an organization. A Records Retention Schedule sorts out the important kinds of documents and specifies how long they have to be retained, for legal and for historical purposes. Most organizations create vast numbers of records, and can't afford to manage and perpetually maintain all of them; a good Schedule specifies which records need attention so unimportant items can be routinely discarded. Other elements in the records management system include a good tracking mechanism; strict methods of maintaining confidentiality; and active, effective communication between record creators, users and the Records Manager.

A Records Manager is a highly specialized information professional who is trained to analyze, inventory and describe records series to facilitate management and preserve organizational history. The University Records Manager is responsible for creating and implementing the Records Retention Schedule, overseeing the timely and confidential destruction of outdated records, and working with record creators and users to ensure the system operates effectively and usefully. In addition to the University Records Manager's responsibilities, the University Historian/Archivist curates and preserves the rich historical trove of the permanent collections, and helps make them broadly accessible to students and researchers through presentations, exhibits, reference service, and active community involvement. In a single day, the University Archives may work with a historical document from the 1860s, photographs from the Rose Bowl, last year's e-mail about curriculum revisions, a poster from the Elvis concert at Mac Court, a microfilmed dissertation from 1980, and 500 linear feet of admissions records that have outlived their prescribed lifespan.

## Navigating this Site

If you don't know the name of a record series, you can probably find it by consulting the Functional Sections, which are organized by the purpose of the record. For example, if you have a question about admission documents, you can look at the Functional Sections and figure out that admissions records will be part of the Student Records section, and follow the links to the precise series you want. If you do know the series name, you can use the alphabetical index (below) to find the page you want.

A-B C-D E-G H-M N-P Q-W

## Understanding and Using the Schedule

The Oregon University System Records Retention Schedule was developed as a joint project between the archivists of the University of Oregon, Oregon State University, and the Chancellor's Office of the Oregon University System. This electronic version replaces the paper Records Manual last issued in 1996. This schedule has been customized for the University of Oregon to include information regarding the holder of the record copy of each series at the UO. In keeping with the commitment of University Archives to improve distribution of information to the campus community and in order to assist in the reduction of paper use, we are making the schedule available only on the Internet. The University Archivist will retain one paper copy; University Archives will print no additional copies. *Please remember that if you choose to rely on a printout from the Schedule, you cannot be assured that the printed information is still valid.*

The Records Schedule is an Oregon Administrative Rule (OAR 166-475) and subject to all applicable laws and regulations. It is also a "minimum/maximum" schedule, which means that records are to be kept by University offices for as long as the retention period and no longer. ***To meet legal and fiscal obligations, it is very important to destroy records in a timely, regular, and appropriate fashion.*** Please consult our Procedure for Confidential Document Destruction for information on how to properly destroy confidential information.

This Schedule is a descriptive, not a prescriptive, document. This means that the records series described were developed by inventorying, analyzing, and describing the records of representative offices of the University. The series describe records as they are kept by many units; the series do not prescribe how offices and departments should or must keep their records. Offices that don't have records as described in the schedule need not be concerned that they are in violation of state law and rules.

Minimum-Maximum Rule: The retention periods listed in the University Records Retention and Disposition Schedule are both "minimum" and "maximum" retention periods as established in state administrative rules. Minimum and maximum retention periods mean that a record series must be kept as long as the retention period listed in the schedule, but no longer. It must be kept for the length of the retention period and then promptly disposed of as directed by the schedule.

Exceptions to the Maximum Rule: There are exceptions to the maximum retention period rule. Records may be kept for a period of time exceeding the established retention period if they are involved in litigation, criminal or civil investigation, audit, or continuing administrative use. Under no circumstances, however, is a record to be kept for a shorter time period than the schedule requires.

Some of the series in the schedule may seem outdated or irrelevant to current practices. For a variety of reasons, it is still important to have these series in the schedule: some of the records in an outdated series may not be past their retention period, and some of the institutions in the University System may still be using those types of records. The existence of a records series in the schedule does not mandate its creation or use by the University of Oregon.

### Format
Quick and easy use of the following schedule is dependent upon understanding the meaning of each component of a record series disposition.

| |
|---|
| **Number within the section of the Administrative Rule. Title of the record series** |

**UNIVERSITY OF WESTERN ONTARIO:** Records Retention and Disposal Schedules

www.lib.uwo.ca/archives/retention_schedules/retention_schedules.shtml

## Archives and Research Collections Centre
### Home of Western Archives

**The University of Western Ontario**

**RECORDS RETENTION AND DISPOSAL SCHEDULES**

Introducing Western's Records Retention and Disposal Schedules

Using Western's Records Retention and Disposal Schedules

Glossary of Retention and Disposal Terms

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05 Student Affairs
06 Community Services
07 Teaching
08 Research and Development
09 Information and Communications

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**YALE UNIVERSITY:** Information for Yale Offices. Records Schedules

http://www.library.yale.edu/mssa/ua_schedules.html

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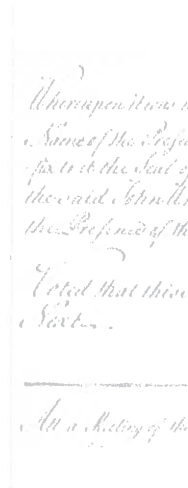Administration and Services
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Student Admissions and Recruitment
Student Finance

**Student Life**
Athletics
Student Organizations

# Disposal/Destruction Forms

# Records Management
### University of Cincinnati

## Certificate of Records Disposal

Administrative Area

Division

Department/Unit

Office

Records Officer/Coordinator

| Schedule Number | Records Series Title | Inclusive Dates | Volume (in cu. ft. or # of boxes) | Date of Disposal | Method of Disposition |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |

Reviewed by

Date

Revised 12/06

**UNIVERSITY OF CONNECTICUT:** Records Disposal Authorization

http://www.cslib.org/publicrecords/Forms/rc108.doc

**RECORDS DISPOSAL AUTHORIZATION**

RC-108—Revised 3/2006

STATE OF CONNECTICUT
Connecticut State Library
*PUBLIC RECORDS ADMINISTRATION*
231 Capitol Ave., Hartford, CT 06106

Return this form to the Public Records Administrator **to obtain approval to dispose of agency records.** Submit at least 20 days prior to proposed date of records disposal.

Page _____ of _____ pages

**NAME OF AGENCY (*Use typewriter or computer - original signatures*)**

ADDRESS

**DIVISION or UNIT**

I hereby certify that the records listed have met the retention requirements established by the Public Records Administrator in the form of an approved retention schedule. No record(s) listed, in our opinion, pertain(s) to any pending case, claim, or action.

**Typed Name of *Records Management Liaison Officer***

Title

**Approved (*RMLO*)**

Date

| ITEM NUMBER[1] (*i.e. S2-010*) | Record Series Title | Authorization for Disposal | | Inclusive Dates of Records | | Est. Volume of Records Requested for Disposal *(Indicate cubic[2] or linear ft.)* | Proposed Date of Disposal | Do not write in this column[3] |
|---|---|---|---|---|---|---|---|---|
| | | Schedule No.[1] (RC-050) | Effective Date | From | Thru | | | |
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**Approved** (*State Archivist*)                    Date

**Approved** (*Public Records Administrator*)        Date

[1] Enter approved schedule # (RC-050) or, if records will be disposed of per General Schedule, enter in Item Number column S1-S6 # _____."

[2] A filled letter-size drawer contains 1.54 cubic feet, and a legal-size drawer contains 2.0 cubic feet.

[3] Records that cannot be destroyed are noted in this column.

University of Georgia Libraries

# HARGRETT
RARE BOOK & MANUSCRIPT LIBRARY

RECORDS
CENTER

DESTRUCTION
OF RECORDS

STORAGE
& RETENTION
REQUIREMENTS

ACCESS TO
RECORDS

ELECTRONIC
RECORDS
POLICY

RECORDS
FORMS

Departmental
Records Officer
Form

File Retrieval
Form

Box Transfer
Form - Destruction

Box Transfer
Form - Storage

HARGRETT
LIBRARY

# UNIVERSITY OF GEORGIA RECORDS CENTER

## *Destruction of Records*

Many records can be sent directly to destruction. Document destruction service is available to all University departments through the Records Center. Systematic destruction procedures are provided by a bonded disposal company to insure security and confidentiality. Material listed for destruction should be sent in sturdy boxes. Documents are pulverized into unreconstructable fragments for recycling. *Please remember the following guidelines when submitting material for destruction.*

*When to Ship - What to Ship*
Review 'em. Records created by university offices are destroyed according to the newly approved Board of Regents retention schedule at http://www.usg.edu/usgweb/busserv . These retention guidelines help in determining when a record should be destroyed. The University contracts with a bonded destruction company to destroy records. Items sent for destruction should be considered sensitive material. **Please do not send outdated pamphlets, telephone directories or advertising junk mail that could normally be handled through recycling.**

*Destruction Box Requirements*
Pack 'em. Please make sure all items sent for destruction are packed in boxes that can be easily handled by one person. Copier paper boxes with lids are ideal for destruction purposes. **It is imperative that the boxes be securely closed for safe shipping across campus.**

*When You are Ready to Ship*
Call 'em and Ship 'em. Once the information is boxed correctly, inform Records Management (706-369-5927) of the number of boxes and the retention standard that the records follow, eg A20. Contact with the Records Center can be made by telephone or through the use of the Box Transfer Destruction Form. (If your department decides to use the form, you will be contacted by email.) Records Management will assign the set of boxes a control number. **This control number needs to be written on the outside of each box.**

Ship 'em. Physical Plant (706-542-7456) will ask for the control number if and when they are requested to pickup a set of boxes that are to be delivered to the Records Center. If your department chooses to self-deliver, please notify the records center before delivery. Failure to notify the record center prior to sending or delivering the boxes could result in the records being unaccepted by the Records Center.

Contact the Records Center:

**UNIVERSITY OF GEORGIA:** Box Transfer Form for Destruction

http://www.libs.uga.edu/recman/rede_form.html

University of Georgia Libraries

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## UNIVERSITY OF GEORGIA RECORDS CENTER

### *Box Transfer Form for Destruction*

The boxes with asterisk (*) must be filled. When done, press **SEND** at the bottom of the page.

(Please read guidelines for <u>destruction of records</u> before filling out this form.)

Please call if you have any questions.

**Name***

**Department Name***

**E-mail Address***

**Telephone Number***

**Campus Address**

**Number of Boxes Being Sent**

**Years of Records Being Sent** (e.g. 1990-2006)

**Please check the box that explains why these records are being destroyed:**

&#9745; **Retention Standard**

These files are being destroyed as a result of a retention standard found on the web page of the state archives. (Please give the <u>Retention Standard number</u>, e.g. A30)

&#9744; **Unnecessary Duplicates**

These files are just extra copies of the original that can be destroyed.

&#9744; **Other**

These records are being destroyed for another reason. (Please explain)

**Comments/Special Instructions**

[ Send ]     [ Cancel ]

## CERTIFICATE OF RECORDS DESTRUCTION

(NOTE: This Certificate is used in coordination with the Schedule of Retention and Disposition of Records. Send One copy of the completed certificate to the University Archives and one copy to University Counsel prior to the destruction of records).

| Department: | Person Completing Form: |
| --- | --- |
| | Phone Number: |
| Proposed Date of Destruction: (Please allow at least 15 days advanced notice) | Signature (Department Head) |

| Record Series Title | Span Dates of Records | Brief Description |
| --- | --- | --- |
| | | |

| Approved for Disposal: University Counsel | Approved for Disposal: Archives |
| --- | --- |

(Dev. 11/09/99)

## RECORDS DESTRUCTION CERTIFICATE INSTRUCTIONS

The Records Destruction Certificate is a fielded Microsoft Word form that should be used by Records Officers to document destruction of records at an agency. A printed copy of the completed and signed form should be sent to the Public Records Division.

Fill in the data on the Records Destruction Certificate (form PRD 50) as follows:

- **Date**: Enter the month, day, year the Certificate is prepared.

- **Cabinet/Local Jurisdiction**: Enter your agency's cabinet or local jurisdiction.

- **Department/Local Government Office**: Enter the name of department or local government office which falls under the entity listed above.

- **Division**: Name of division which falls under entity listed above.

- **Branch/Unit**: Name of branch or unit which falls under entity listed above.

- **Schedule Date**: The month and year the current Records Retention Schedule for your agency was approved by the State Archives and Records Commission. This information can be found on the signature page which accompanies the retention schedule or the top right-hand side of an individual schedule page.

- **Destruction Date**: Indicate the date the records were disposed of.

- **Destruction Method**: Indicate the method used to dispose of the records, i.e., landfill, trash, recycle, shred, etc. using the pull down menu.

- **Series No.**: Enter the series number from your agency's Records Retention Schedule or applicable general schedules for the record(s) you are destroying. Multiple series can be recorded on the Destruction Certificate.

- **Title Records**: Enter the title of the record(s) exactly as shown in your agency's Records Retention Schedule, or the General Schedule for State Agencies.

- **Date Span**: Give the inclusive (oldest and most recent) dates of the records destroyed.

- **Volume**: Indicate the amount of each series of records destroyed. This may be in cubic feet (if the records are in paper format), megabytes (if the records are in digital format), or some other unit of measure (for other formats). If the records are in other formats, click the box next to the empty field and complete that field.

- **Total Volume of Records Destroyed**: Enter the total volume of records destroyed.

- **Approvals and Certifications**: Agency Records Officer or records custodian signs and dates the form, certifying destruction of records.

Forward the original signed copy of the Records Destruction Certificate, plus one photocopy, to either the State Records Branch (if it is a state record) or the Local Records branch (if it is a local record) of the Public Records Division, 300 Coffee Tree Road, P.O. Box 537, Frankfort, Kentucky, 40602. Retain one paper or electronic copy for your agency's files.

http://www.kdla.ky.gov/recmanagement/schedules/kyrecordsdestruction.doc

## Records Destruction Certificate
### Kentucky Department for Libraries and Archives, Public Records Division
300 Coffee Tree Road, P.O. Box 537, Frankfort Kentucky 40602

**Date:**

Cabinet/Local Jurisdiction:

Department/Local Government Office:

Division:

Branch/Unit:

Schedule Date:                    Destruction Date:                    Destruction Method: Recycle

For records destroyed at agency only, per approved retention schedules

| Series No. | Title of Records | Date Span | Volume ☐Cubic Feet ☐Megabytes ☐ |
|---|---|---|---|
| | | | |
| | | | |
| | | Total Volume of Records Destroyed | |

Approvals and Certifications

**Before destroying records not listed on the agency's retention schedule or applicable general schedules, approval must be obtained from the State Archives and Records Commission.**

I hereby certify that the records described above have been destroyed.

_____
Records Officer/Custodian                    Date

# Electronic Records Management

**UNIVERSITY OF CINCINNATI:** Policy and Procedure Guide. Electronic Records Management

http://www.libraries.uc.edu/libraries/arb/records_management/documents/Records_Guide.pdf

University of Cincinnati Records Management

## Microfilming

Microfilming offers several advantages as a medium for record storage: space savings, archival stability, legal acceptance, high image quality potential, vital record protection, and duplication for security storage off-site. Microfilm is a convenient storage medium for bulky records which require little weeding and which must be kept for extended periods, or for vital records which must be retained securely or indefinitely. However, microfilming is expensive, particularly in terms of document preparation. It is often less expensive to utilize low-cost storage.

If the decision is to microfilm, an archival copy using silver gelatin film should be made and stored in an alternate location for security. Working copies should be made of diazo or vesicular film which, with proper care, should provide up to 100 years of useful life.

## *Electronic Records Management*

University machine-readable records, that is, records which are created and maintained in electronic form for administrative purposes, are subject to the same requirements for records management as are paper and microform records. They are inventoried, scheduled and disposed under the same procedures.

### Media Migration

Electronic media changes and advances at an astounding rate. In addition to the media itself, it is difficult to obtain the hardware needed to read the media. Gone are the days of punch cards, 8" and 5 ¼" floppy disks and 3 ½" disks are on the way out, with few new machines being manufactured with the drives to read them. To insure that your data stored on electronic media can be accessed in the future you need to establish a plan to migrate the data.

### Care and Preservation

Compact Discs

- Always store discs upright in their plastic cases or paper folders when not in use.
- Use a non-solvent-based felt-tip permanent marker to mark the label side of the disc.
- Return discs to storage immediately after use.
- Only handle discs by the edges or the center hole and use clean hands when handling discs. Never touch the surface of a disc.
- Store discs in a cool, dark environment.
- Only clean discs when it is absolutely necessary, when surface dirt is visible and/or readability or playability is impaired.

If discs do require cleaning, use the following methods:

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UNIVERSITY OF CINCINNATI:  Policy and Procedure Guide. Electronic Records Management

http://www.libraries.uc.edu/libraries/arb/records_management/documents/Records_Guide.pdf

University of Cincinnati Records Management

- For surface dust or dirt blow lightly on the disc.
- Lightly rub the surface with a soft cloth. Never use paper or any abrasive material.
- For stubborn dirt use commercial CD/DVD cleaners or isopropyl alcohol along with a soft cloth.
- When wiping discs, always wipe from the center to the outside edge.

Floppy Disks (5 1/2" and 3 1/4")

- The disk and its environment must be free from sticky fingers, food, dust, and other contaminants that can destroy data on the disks.
- Exposed areas of the disk should never be touched. Handle the disk only by the edges. (3 1/4" floppy disks have only a small exposed area.)
- 5 1/2" disk drives and the read/write heads must be regularly cleaned.
- Disks should not be folded or be secured by paper clips or rubber bands. Any writing on the label should be done before it is attached to the disk, or by lightly using a felt-tipped pen.  Do not erase a label already affixed or attach a new label on top of a previous one. Remove the existing label and replace it.  After use, return the disk to its sleeve. Note: Do not put labels over the metal surface on the disk, this surface must move.
- Floppy disks are to be stored in a rigid container in a vertical position with no pressure on the disks. They should be stored at a temperature between 50 and 125 degrees Fahrenheit with a relative humidity range of 8% and 80%.
- Sources of magnetic fields should be kept away from disks.  Disks should not be placed on top of the computer Central Processing Unit (CPU).
- Use proper "write protect" tabs to prevent accidental erasing or overwriting of data on disks.
- Data on floppy disks should be copied onto new disks every 2 years, and the old disks erased, to ensure integrity of data.

Magnetic Tape (Based on Geller, Sydney B. *Care and Handling of Computer Magnetic Storage Media* . National Bureau of Standards Special Publication 500-101. Washington, D.C. June 1983.)

- Magnetic tape storage areas require a controlled environment free from dust, smoke, and high intensity magnetic fields.
- Fluctuations in temperature and humidity are to be minimized. Temperature should range between 62 and 68 degrees Fahrenheit; the relative humidity should be 40%.

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**UNIVERSITY OF CINCINNATI:** Policy and Procedure Guide. Electronic Records Management

http://www.libraries.uc.edu/libraries/arb/records_management/documents/Records_Guide.pdf

University of Cincinnati Records Management

- Magnetic tape should be stored in an upright position on a metal rack in plastic containers which support the reel at the hub. There should be external identification labels.
- Stored tapes should be cleaned and rewound under constant tension ever 1-2 years. Tapes should be examined once a year for physical deterioration such as broken reels.
- A sample of stored tapes needs to be tested for "read errors" (to see if data can still be used) once every 1-2 years. If errors are found, additional tapes should be examined.
- Data should be transferred to new tapes every 10 to 20 years, depending on storage conditions, maintenance practices, and the results of sample testing.
- Security, or backup, copies of machine-readable record must be maintained for the duration of the scheduled retention period. Backups may be electronic format, microform, or hard copy. The security copies are stored in another location.

**Admissibility of Archived Computer Records**

In the State of Ohio, computer records may be audited and may be admitted as evidence in a court of law much the same as with paper and microform media.

In order for electronic records to be legally acceptable, it must be possible to verify that:

1. Records retention schedules and local policies concerning access, security backups, and data entry have been followed.
2. The information stored electro-magnetically is: Recorded in the normal course of business; Recorded within a reasonable time after the event or transaction and includes an audit trail showing which data have been altered, when, and by whom; and Audited to establish the trustworthiness of the information.
3. The computer media archived is both prepared properly prior to recording data (e.g., formatting) and that it is properly maintained in storage.

**Labeling Computer Files**

Files which cannot be identified because of poor external and internal labeling are useless.

Systems vary in the options provided for labeling tapes, diskettes and other forms of magnetic media, but it is important to use every means available. In addition to labeling the outside of a diskette or tape, enter the date and if necessary, the time when a file was used. On the office automation or other mainframe system, enter password and terminal designation.

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University of Cincinnati Records Management

Make file names as recognizable as possible. On microcomputers, the optional extension characters may be used for file names to indicate the creator's initials or as mnemonics for the type of document, for example COR (correspondence), MEM (memoranda), BUD (budget). Store different record series on separate disks. If machine-readable files contain confidential materials, coded filenames discourage unauthorized access. Note: Not applicable after Windows 95 as extensions have meaning.

A written Departmental or office policy dealing with labeling computer files, as well as security and access considerations makes it easier to work with these records in the future, as well as to audit, if necessary, admit them in a court of law.

### *Email Management*

Electronic communications systems in use at the University include, but are not limited to, office automation, E-mail, and Internet facilities maintained by the C.I.T.S., and local area networks maintained within colleges and other administrative units of the University.

Electronic mail created and received by employees of the University of Cincinnati during the course of business can be an official University record, and as such falls under the purview of the University Records Management Program. Additionally, the University's computing resources are limited physically and financially in the amount of online storage which can be provided to users with electronic mail accounts. For both of these reasons, the following guidelines are important in ensuring effective, efficient and legal retention and disposition of electronic mail.

1. Retain delivery and read receipts only if legally required. Generally these should be deleted and purged once they have been read.

2. Delete and purge all junk mail once read. If there is anything a user feels will be of later use, it should be printed and filed as hard copy.

3. Delete and purge C.I.T.S. systems notifications once they have been read.

4. Print and file routine correspondence and inter-office memoranda and retain until no longer administratively useful. Purge and delete electronic copies.

5. Print out and file executive correspondence, that of administrators with the rank of Department Head and above and Faculty. Such correspondence documents administrative decision-making, committee, faculty, and campus activities and is retained in hard copy for 3 years or until no longer administratively useful, and then transferred to the University Archives. Electronic copies should be deleted and purged daily or weekly, depending upon the volume of use.

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University Libraries

# Thomas J. Dodd Research Center

University of Connecticut

ABOUT    COLLECTIONS    EVENTS    EXHIBITS    OUTREACH    RECORDS MANAGEMENT    RESEARCH SERVICES    -- Select Your Page --    GO

About
Forms
Policies
Procedures
Strategic Plan for
Electronic Records   (2000)
Supplies

## Strategic Plan for Electronic Records (2000)

### Keeping the Whole Record:

A Strategic Plan for Managing and Preserving
The University of Connecticut's
Knowledge Assets in the Digital Century

**Executive Summary**
**Statement of the Problem**

The **University of Connecticut** (UConn) is facing significant changes in the way it conducts and documents business. UConn is moving rapidly toward relying on information that exists solely in electronic form to support the University's core business activities. Examples include:

- the introduction of the integrated Student Records system,
- the ubiquitous nature and growing importance of electronic mail messages,
- the expansion of the role of web resources, and
- the implementation of the fiscal data warehouse.

At this point, however, UConn cannot ensure that its information resources will be available for a longer period of time than the short active life span of information in a systems environment. Thus, at some future point, UConn may not be able to locate, let alone use necessary "accurate, reliable and authentic information" regarding actions, decisions and business transactions.

This "accurate, reliable and authentic information" is characterized as a KNOWLEDGE ASSET. It is used to communicate valuable information externally and internally. The value of this information is derived by assessing the cost of replicating or reacquiring the information, the cost of conducting business without this knowledge, and lost opportunities because of the inability to access this information quickly, or at all. Knowledge assets, as applied in this report, refer to administrative resources, and do not include academic research materials or other information resources created through the fulfillment of the University's academic functions.

The emerging digital environment is supplanting a paper-based environment in which critical information was maintained exclusively on paper and information of long-term value was transferred to the University Archives where it was preserved and available for use. Thus, the University now faces the choice between maintaining a partial or a complete documentary record as it moves into the highly digital milieu.

**Proposed Solutions**

The plan focuses on a single strategic goal: The University of Connecticut will be capable of producing, maintaining and retrieving the body of knowledge that originates and is maintained in digital form, both now and into the future. To achieve this goal the plan presents three objectives that focus on providing service and support, developing policies and practices, and identifying roles in the emerging digital infrastructure. Each goal contains several action items. The plan also presents an outline for the first year of activities of the proposed program.

**Objective 1 : Provide service and support for the University's administrative business units to enable them to better identify the University's core information assets and to assist them in their capacity as stewards of those assets.**

**Action 1.1 : Conduct a core Knowledge Asset Inventory (KAI) to identify UConn's critical information assets.**

UConn's major programs obviously are dependent on reliable, accessible information to accomplish their business. In most program areas, staff have developed approaches to managing information resources under their control that ensures the University's day-to-day operational needs are met. However, the University is unable to identify the "official" source of complete, accurate and authentic documentation for many of its business activities. An inventory of "knowledge assets" would enable UConn to locate its critical information resources, identify existing "best practices" in program areas and develop a program to ensure that all of UConn's knowledge resources are effectively managed and appropriately used throughout the University.

**Action 1.2 : Develop a training, education and assistance program on information management.**

Line staff would benefit from training and education workshops that enables them to understand both the value of their information assets and methods for managing those assets. The University Archives, in partnership with other business units, should provide this training.

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# UNIVERSITY OF GEORGIA RECORDS CENTER

### *Electronic Mail (Email) & Electronic Records*

<u>**Electronic mail**</u> **created or received by University of Georgia employees in connection with official business is subject to the state record laws and the retention requirements of the Board of Regents.** Just because such communication is transmitted digitally and easy to delete does not keep it from being an official record.

When electronic mail documents University business, **a record copy should be printed on paper**, filed appropriately for future access **and preserved or destroyed according to the Regents' retention policy**. Given the vulnerability of electronic records, we suggest that this printing be done routinely, ideally upon receipt of a communication. In addition to preserving the communication, filing a paper print promotes future ease of retrieval and interpretation.

<u>**Electronic records**</u> bring new challenges to your role as a records manager. Even with careful storage, current magnetic and optical storage options cannot begin to match the life of properly stored acid-neutral paper or microfilm. This may not matter if the material has a short record life according to the retention schedules, provided the medium is carefully stored during its useful life, safe from potential destruction or deterioration. Preservation of the data, however, may not even matter if the machinery and software required to read it are not available in the future.

Just as the electronic record can be difficult to preserve, it can also be difficult to destroy when its retention schedule has been met. Simply hitting a delete key may not actually remove all trace of a record. Careful planning is needed to be certain that private information, such as that protected by <u>FERPA</u>, is not inadvertently released though inadequate protection or destruction of electronic records.

If contemplating a move from paper to electronic records, be certain that your electronic records can meet current standards for preservation, as well as security, privacy and any other legal requirements. Excellent guides that take into consideration legal, technical and planning issues are available on the <u>Georgia Secretary of State's Records Management web site</u>.

While we certainly are not technological experts, the UGA Records Management Program is always available to discuss electronic records issues.

Contact the Records Center:

Phone (706) 369-5926 | FAX (706) 227-5335
reccentr@uga.edu

**Georgia Tech** | **Archives and Records Management**

INFORMATION ABOUT:

Home >> Retention Requirements >> *Electronic Records*

RELATED DOCUMENTS:

**RECORDS CENTER**

· Transferring Records
· Accessing Records

**RETENTION REQUIREMENTS**

· Secure Destruction
· Vital Records
· *Electronic Records*

**RELATED RESOURCES**

**ARCHIVES**

**QUICK LINKS**

[ click to select ]

## *Electronic Records*

Electronic documents are also subject to the same records retention guidelines which govern paper-based records. Even though electronic records present fewer problems in terms of physical storage space, appropriate measures should be taken to comply with records retention guidelines. Electronic records, including email, pose the same kinds of litigation risks as those associated with paper-based records.

BOR Retention Guidelines

Record Transfer Form

Box Label

Record Retrieval Form

Records Decision Tree

ACCESSIBILITY | CONTACT US | STAFF ONLY | GT LIBRARY

GT Archives & Records Management :: 704 Research Avenue :: Atlanta, Georgia 30332-0900 :: phone:(404) 894-4586

http://www.uky.edu/Libraries/libpage.php?lweb_id=300&llib_id=13&ltab_id=699

## Special Collections and Digital Programs

RECORDS PROGRAM

| About | Public & Open Records | Model Records Retention Schedule |
| Records Management Education & Training | Records Transfer & Destruction | Reformatting |
| Electronic Records |

### Electronic Records

### General Statement

In today's university environment, employees create and maintain an increasing portion of their records using computers. Electronic records must be managed alongside traditional records to ensure compliance with state and federal regulations and to preserve institutional history. In fact, Kentucky's definition of a public record includes any possible media: "all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings and other documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410 [1]). Employees must be aware that Kentucky's Public Records (KRS 61.870-884) and Open Records (KRS 171.410-740) laws cover all U.K. records, including electronic mail and other electronic records.

The management of electronic records follows many of the same principles used to manage traditional records. As with all university records, the first step is applying the State University Model Records Retention Schedule. The Model Schedule lists types of records and their appropriate retention period. Retention periods listed in the Model Schedule apply to records regardless of their medium.

Examples of common electronic records:

- electronic mail
- databases
- Web sites

In this rapidly evolving electronic age, there also exists records whose creation and existence cannot be separated from the media in which they were created. For example, such records would be systems database or computer operations files. The state has recently approved a general schedule which is available at: Electronic Schedule, for these types of electronic and related records.

The University Archives and Records Program recognizes that electronic records present special challenges, and program staff will work with University units to help them apply the Model Schedule to their electronic records. Once the proper retention periods have been determined, UK's Computing Center will assist units by retaining, migrating, or destroying data as instructed.

For assistance with electronic records, call (859) 257-5257.

### Electronic Mail

Work-related e-mail is a university record, and must be treated as either record series U0100 or U0101. Each e-mail user must take responsibility for sorting out personal messages from work-related messages and retaining university records as directed in the Model Schedule. E-mail users should arrange their e-mail folders to simplify this process:

1. personal folders for non-work-related messages
2. non-permanent work folders for items covered by U0101
3. permanent work folders for items covered by U0100

E-mail may also be printed and retained as a paper record. Be sure that print-outs retain complete header information (to, from, date, subject). E-mail print-outs may be filed with other paper correspondence or separately. If messages have been sent using a distribution list (email group name), the sender must maintain a record of the distribution list for as long as the message is retained.

When e-mail is used as a transport mechanism for other record types, the record being transported must be administered according to the Model Schedule (as noted above, the media of the record does not affect its retention).

Please see the Kentucky Department for Libraries and Archives (KDLA) Understanding Records Management: E-Mail Records for more information concerning the management of e-mail records.

### Web Sites

Web sites are also an electronic records concern, particularly as more and more records are being

| The Ohio State University | www.osu.edu | Help Campus map Find people Webmail Search |

## University Libraries ◘ University Archives

OSUL Home   Find   Borrow   About OSUL   ·Libraries   Learn ∶ Off-campus Sign-in   My Record   Help

| Byrd Polar Archives | **|The Ohio State University Archives** |
|---|---|

*eLECTRONIC RECORDS: AN OVERVIEW*

| REC MGMNT | EMAIL | | DEFINITIONS | SCHEDULES | DISPOSITION | TRANSIENT | RIM LINKS | LAWS & REGS |

Byrd Polar Archives

John Glenn Archives

Records Retention & Management

University Manuscripts

University Photo Archives

Archives Main Menu

Online Exhibits

***Mention "electronic records" in a crowded room and all conversation may come to a halt...***

Not necessarily out of interest (or lack thereof), but more often than not out of fear of the unknown. Electronic records are perceived to be more mysterious than their analog paper counterparts. The advice contained in this niche of cyberspace is meant to dispel that myth.

Electronic records or more accurately "technology dependent records" are those records that are not eye readable without some intervening technology, and:

- may be born-digital or converted
- may be created via computing devices, scientific and medical instrumentation, communications equipment, and audiovisual equipment
- exists in a variety of types including but not limited to: text, images, moving images, sound, databases, spreadsheets, geographic information systems (GIS), data warehouse, and specialized application.

On this page we will discuss:

- **Characteristics of a Trustworthy Electronic Record**
- **Electronic Records Management Challenges**
- **EDMS/ERMS/ECM Explained**
- **Preservation Concerns & Possibilities**

**CHARCTERISTICS OF A TRUSTWORTHY ELECTRONIC RECORD:**

There are four essential characteristics used to describe trustworthy records from a records management perspective:

- **Reliability**: A reliable record is one whose content can be trusted as a full and accurate representation of the transactions, activities, or facts to which it attests and can be depended upon in the course of subsequent transactions or activities.
- **Authenticity**: An authentic record is one that is proven to be what it purports to be and to have been created or sent by the person who purports to have created and sent it. A record should be created at the point in time of the transaction or incident to which it relates, or soon afterwards, by individuals who have direct knowledge of the facts or by instruments routinely used within the business to conduct the transaction.   To demonstrate the authenticity of records, organizations should implement and document policies and procedures which control the creation, transmission, receipt, and maintenance of records to ensure that records creators are authorized and identified and that records are protected against unauthorized addition, deletion, and alteration.
- **Integrity**: The integrity of a record refers to it being complete and unaltered. It is necessary that a record be protected against alteration without appropriate permission. Records management policies and procedures should specify what, if any, additions or annotations may be made to a record after it is created, under what circumstances additions or annotations may be authorized, and who is authorized to make them. Any authorized annotation or addition to a record made after it is complete should be explicitly indicated as annotations or additions.  Another aspect of integrity is the structural integrity of a record. The structure of a record, that is, its physical and logical format and the relationships between the data elements comprising the record, should remain physically or logically intact. Failure to maintain the record's structural integrity may impair its reliability and authenticity.
- **Usability**: A usable record is one which can be located, retrieved, presented, and interpreted. In any subsequent retrieval and use, the record should be capable of being directly connected to the business activity or transaction which produced it. It should be possible to identify a record within the context of broader business activities and functions. The links between records which document a sequence of activities should be maintained. These contextual linkages of records should carry the information needed for an understanding of the transaction that created and used them.

An organization needs to consider these characteristics when planning to implement an electronic recordkeeping

system and/or electronic signature technology so that it can meet its internal business and legal needs, and external regulations or requirements. The degree of effort an organization expends on ensuring that these characteristics are attained is dependent on the organization's business needs or perception of risk. Transactions that are critical to the business operational needs may need a greater assurance level that they are reliable, authentic, maintain integrity and are usable than transactions of less critical importance.

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### ELECTRONIC RECORDS MANAGEMENT CHALLENGES:

A generation ago one would dictate a letter to an assistant who would type and file the document in an appropriate manner; being a part of the record management process that person would handle the regular disposition of those records. With the advent of the personal computer more and more of us are directly responsible for creating and filing our own documents without the benefits of training within the records management process, which leads to inadequate institutional control over the creation and maintenance of records.. Further complicating matters is that of the issue of **preservation (which is discussed below)** and that:

- the documents and records we now create are dependent upon technology to interpret them, and more often than not, they are dependent upon specific hardware and software system combinations, some which are proprietary and unique
- there are a lack of institutional policies and guidelines addressing the management of electronic records
- there are a lack of affordable tools to appropriately and effectively manage electronic records
- without effective tools and/or institutional polices and guidelines for filing and managing records, the usability, locatability and accessibility to the records may be compromised
- the low cost of electronic storage does not encourage individuals to manage their records by **disposing** of records who's lives have expired
- there is a greater risk for potential security breaches and damage via virus attacks .
- there are significant risks of records loss or damage due to instability of storage media
- the unmanaged proliferation of copies, even in paper, that while they provide redundancy from a backup point of view, they can ultimately wreak havoc with completing a final disposition process
- the changes in the **Federal Rules of Civil Procedure (FRCP)** specifically identifies electronic records, including backups and unknown copies, as discoverable

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### EDMS/ERMS/ECM EXPLAINED:

When identifying and purchasing electronic records management tools one needs to understand the industry's "alphabet soup". There are three basic system types that one should understand:

- **Electronic Document Management System (EDMS):** An EDMS is a software system that controls and organizes documents throughout an organization, whether they have been declared as records or not. Depending upon the product, an EDMS may be as small as a stand alone desk top system or as large as an enterprise wide server-based system. An EDMS typically may include:
  - document and content creation
  - document and content capture
  - document and content editing and revision
  - image processing
  - document workflow/business process management (BPM)
  - document repositories
  - Computer-Output Laser Disk/Enterprise Report Management (COLD/ERM) and other output systems
  - information retrieval functionality
- **Electronic Records Management System (ERMS):** An ERMS is a software system that allows an organization to assign a specific life cycle to individual pieces of organizational information.. Like an EDMS, they may be as small as a stand alone desk top system or as large as an enterprise wide server-based system. Unlike an EDMS one cannot edit or revise documents or content once they are declared in an ERMS. An ERMS has the functionality to:
  - receive of records
  - use records
  - manage and maintain electronic records
  - manage paper-based and other analog records
  - manage the disposition of records
- **Enterprise Content Management (ECM):** An ECM system, the evolutionary successor to an EDMS, is a software system that has tools and methods utilized to capture, manage, store, preserve, and deliver all forms of content (not just documents sand records) across an enterprise. In addition to the tools found in an EDMS and an ERMS an ECM system has:
  - collaboration tools
  - digital asset management tool
  - web content management tools

http://library.osu.edu/sites/archives/retention/erecords.php

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**PRESERVATION CONCERNS & POSSIBILITIES:**

Preservation of electronic records which have a long term or indefinite/permanent retention may be the single biggest "fear factor" in contemplating management of electronic records. Moore's Law (original coined by Gordon Moore, founder of Intel, and meant to describe growth in the number of transistors/square inch able to fit on a silicon chip, and now generally attributable to all computer technology) suggest that there will be significant computing changes every 18 months to 2 years. This leads to a significant amount of obsolescence in a short amount of time in regard to file formats, hardware, and software. Since electronic records are dependent upon this technology to be interpreted, this is a significant problem to which there are no "silver bullets". Where we once had to consider "migrations" only after many years, decades, or even centuries, we now must consider them every 5 to 10 years. Although there are no "silver bullets" there are currently several approaches we may take to preserve our electronic records:

- **Migration:** Migration occurs when one copies the file to a new storage medium or when the bits in a file or program are altered to make them readable by new hardware and operating systems
    - *PRO*: Data is fresh & instantly accessible
    - *CON*: Copies degrade from generation*
- **Emulation:** Emulation occurs when one writes software mimicking older hardware or software, tricking old programs into thinking they are running on their original platforms.
    - *PRO*: Data doesn't need to be altered
    - *CON*: Mimicking is seldom perfect; chains of emulators may eventually breakdown*
- **Encapsulation:** Encapsulation occurs when one encases digital data in physical and software "wrappers," showing future users how to reconstruct them.
    - *PRO*: Details of interpreting data are never separated from data themselves
    - *CON*: Must build new wrapper for each new format & software release; works poorly w/non-textual data*
- **Convert to Acid-Free/Alkaline Buffered Paper,** by printing an electronic document and storing it in a traditional manner.
    - *PRO*: Enhanced longevity; no specialized machinery necessary to read
    - *CON*: Potential loss of dynamic functionality (spreadsheets, databases, html, etc) and significant additional physical storage space
- **Convert to Archival Quality Microfilm,** by writing the digital file to microfilm via a digital archive writer.
    - *PRO*: Enhanced longevity (300-500yrs)
    - *CON*: Potential loss of dynamic functionality (spreadsheets, databases, html, etc); b&w only; magnification needed

* Adapted from *Data Extinction*, by Claire Tristram, October 2002 MIT Technology Review

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For additional information contact Dan Noonan, Electronic Records Manager/Archivist @ 247.2425 (**noonan.37@osu.edu**).

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## The Ohio State University Archives

*eMail Management: An Overview*

Rec Mgmnt      eRecs  Definitions  Schedules  Disposition  Transient  RIM Links  Laws & Regs

### IS EMAIL A RECORD? *WELL THAT DEPENDS...*

...what we have to understand is that email is not a record type or **series**, but is a means of conveying information similar to the Unites States Postal Service. As such its retention is based upon the content of the email message, not the fact that it is an email message.

### WHAT IS EMAIL?
An email (electronic mail) message is comprised of the following components:

- textual message
- metadata (**T**o, From, Subject, Time, Date, System, etc.)
- attachments

As such each component is part of the **record** or **non-record**, as the case may be. In many instances, email has taken over the role of "general correspondence" and memorandums, as well as the telephone message. If an email message meets the criteria of a **record**, it must be managed as such with as much effort and vigilance as one would a "traditional" record, *however, keep in mind there are only a small percentage that we have to manage for any significant period of time.* Below are guidelines for:
**eMail Management & eMail Storage**

### EMAIL MANAGEMENT:

The key to effectively managing email is to get rid of the **non-record**s and any **transient/transitory record**s that have outlived their administrative/legal/fiscal value as quick as possible so that one is left with a small percentage, of what they have sent and/or received, that truly needs to be managed on an on-going basis. One should approach the management of email in a manner similar to how they handle processing their "snail mail" at work and home:

- Open the email and review the document's content; this may mean thoroughly reading the document, but more often than not, one is able to judge just by a cursory look at the document, the subject line, and/or the sender:
  - *If it is a non-record,* one should delete the message outright, just as one would dump the "snail mail" non-record into the trash can or recycle bin;
  - *If it is a transient/transitory record,* then place it in a folder or sub-folder (analog or digital) that is designated for periodic review and dispose of as soon as allowable. One might create a "Transient/Transitory" folder or create sub-folders of **record type/series** or projects for the transient/transitory messages.
  - *If it is a record,* place it in an appropriate folder by **record type/series**, project, retention time, or other filing schema that works for one's office/organization and allows that unit to effectively manage the life cycle of the record.
- Categorizing and managing email is much more straightforward when we utilize intelligent and information rich "Subject Lines". Additionally, some simplistic subject lines like, "Hi!" are treated as SPAM or a potential virus containing email. Below are several examples of **bad** subject lines, along with **good** alternative subject lines

that are more meaningful:
- **Bad: Minutes**
- **Good: Minutes Executive Committee 20070630 OR Minutes Executive Committee June 30, 2007**
- **Bad: Available?**
- **Good: SIS Project Meeting Tuesday (7/4) @ 2PM - Are you available?**
- **Bad: Meeting**
- **Good: Seismic Project Meeting Tuesday (7/4) @ 2PM - Agenda Attached**
- **Bad: Email Question**
- **Good: Need advice regarding email management**

■ Below are three images that conceptually demonstrate examples of email filing schema:
- **Example 1:** the email is stored in folders labeled with retention time (as per **OSU General Schedules**) as the highest level in the hierarchy;
- **Example 2:** the email is stored in folders labeled with record series (as per **OSU General Schedules**) as the highest level in the hierarchy.
- **Example 3:** the email is stored in folders labeled with project names and/or categories as the highest level in the hierarchy.
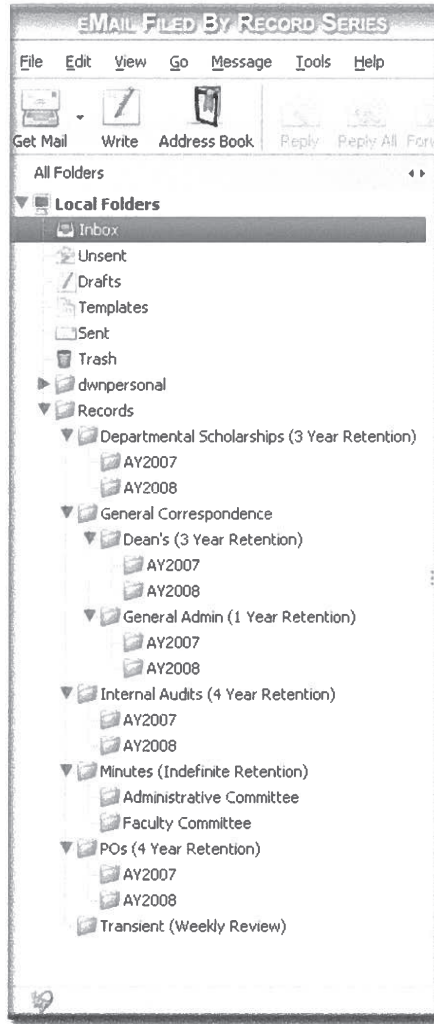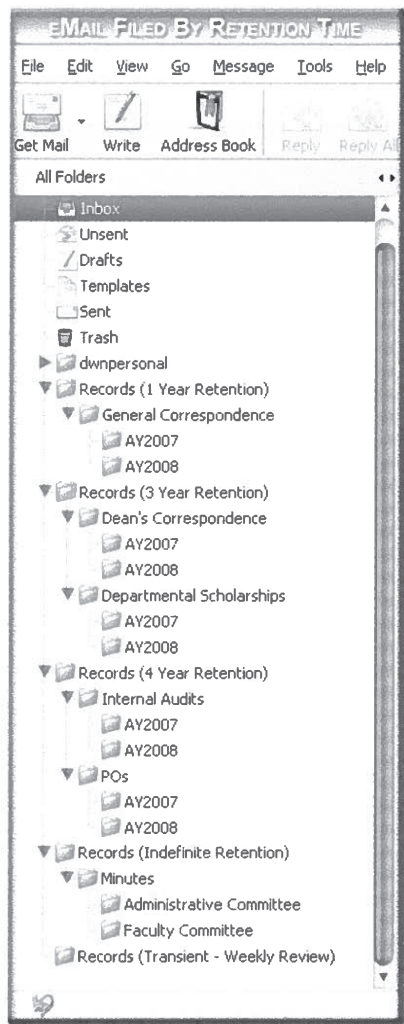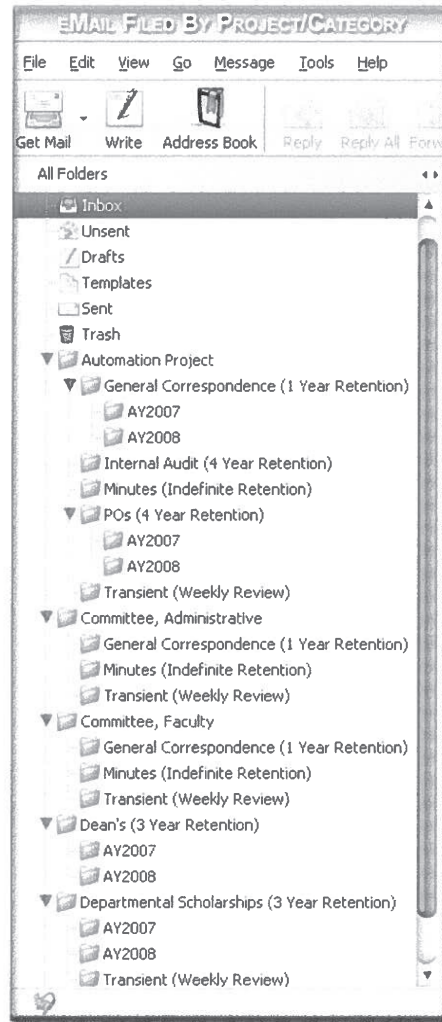
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### EMAIL STORAGE:

***What is the best way to store email?*** Below we discuss the **near-line, on-line, off-line** and **near-line/off-line** hybrid storage options in detail. While a **near-line** storage solution would be optimum, reality typically dictates one's best course of action is to utilize an **on-line** storage option of maintaining it in the email system, especially if the messages are retained on the server, not the desktop.

- **NEAR-LINE STORAGE:** Near-line storage requires the removal of the email message, its metadata, and attachments from the email system to store it in an **electronic records management system** (ERMS). Since the messages are to be stored in an ERMS, it is presumed that the decision making process has been made in declaring the messages as records or non-records, and that the appropriate filing decisions are being made to effectively and efficiently manage the life cycle of the messages.
  - **Advantages:** Ability to "**fix**" and declare it as a **record**; automated life cycle management; ease and

timeliness of access; searchability.

- ○ **Disadvantages:** Loss of functionality as an email and subsequent re-use.

- ■ **ON-LINE STORAGE:** On-line storage is the storing of email messages, along with their metadata and attachments, in the email system. If one is choosing this option, an organization should maintain its storage folders, messages and attachments on the email server or a network attached server, as opposed to a desktop computer in local folders. This is due to the fact the the servers are typically backed up on a regular schedule in an automated fashion, whereas desktop computers are rarely if ever backed up. In the event of a disaster, one needs to able to restore their records to maintain business continuity. Further, when choosing this method one has to be diligent in deleting of non-records immediately and disposing transient/transitory records as soon as possible on a regular basis, so as to not "bog-down" the email operating system.
  - ○ **Advantages:** Ease and timeliness of access; searchability; re-use.
  - ○ **Disadvantages:** Unable to truly "**fix**" email as a record; manually manage the life cycle.

- ■ **OFF-LINE STORAGE:** Off-line storage is the printing, filing and storing of e-mail messages and attachments in a paper-based filing system. One has to be deliberate in capturing both the message and its attachments.
  - ○ **Advantages:** Ability to "**fix**" and declare it as a record; ability to integrate with other paper-based records.
  - ○ **Disadvantages:** Loss of functionality as an email and subsequent re-use; potential loss of metadata; not electronically searchable and retrievable.

- ■ **NEAR-LINE/OFF-LINE HYBRID:** Near-line/Off-line storage is the "printing" e-mail messages and attachments to an electronic file format such as a TIFF image or a PDF. The resultant files can then be stored in a near-line or off-line manner (in this instance off-line meaning the desktop computer or other storage server). One has to be deliberate in capturing both the message and its attachments.
  - ○ **Advantages:** Ability to "**fix**" and declare it as a record;electronically searchable and retrievable.
  - ○ **Disadvantages:** Loss of functionality as an email and subsequent re-use; potential loss of metadata; may not actively be managed in an ERMS.

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For additional information contact Dan Noonan, Electronic Records Manager/Archivist @ 247.2425 (**noonan.37@osu.edu**).

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PENN STATE UNIVERSITY ARCHIVES

## Penn State University Archives

### Records Management

#### University Guidelines On Retention Of E-Mail

Correspondence and other documents sent by e-mail MAY constitute a University record. As such they may need to be retained for longer than an e-mail system is capable of retaining them. It is the responsibility of the sender/recipient to determine if a particular e-mail message constitutes a University record.

If an e-mail message is a University record (as defined in AD-35) it is subject to the same retention period as the paper equivalent. E-mail messages which require long-term retention should be either retained electronically on retrievable media or printed, including all header and transmission information, and filed with their electronic or paper equivalents by the sender/recipient.

In a court of law, liability can become involved when such documents (paper or electronic) are not available to be provided during some segments of litigation. Be aware that your decision to retain or destroy an e-mail message may become an issue in a court situation.

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# SELECTED RESOURCES

## DOCUMENTS

### Books

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## Journal Articles

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## WEB SITES

Retention Schedules

University of Alabama. General Records Schedule.
http://www.lib.ua.edu/libraries/hoole/recordsmgt/general_records_schedules_1997_UA.pdf

University of Cincinnati. Inter-University Council of Ohio. Records Retention Matrix.
http://www.libraries.uc.edu/libraries/arb/records_management/pdf/Rra.pdf

Georgia Institute of Technology. Records Retention Series. Categories.
http://www.usg.edu/usgweb/busserv/series/index.phtml

Kent State University. Record Retention Series. Indexed by Record.
www.kent.edu/universitycounsel/recordsretention/indexrecord.cfm

Staff Training Materials

University of British Columbia. Records Management Manual,
http://www.library.ubc.ca/archives/manuals/rm_manual.pdf

University of Cincinnati. Introduction to Records Management,
http://www.libraries.uc.edu/libraries/arb/records_management/documents/workshop.ppt

University of Kentucky. Records Management Education & Training,
http://www.uky.edu/Libraries/libpage.php?lweb_id=300&llib_id=13&ltab_id=692


Note: All URLs accessed June 27, 2008.

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