



SURVEY RESULTS

EXECUTIVE SUMMARY

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 sys-

tem 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).”

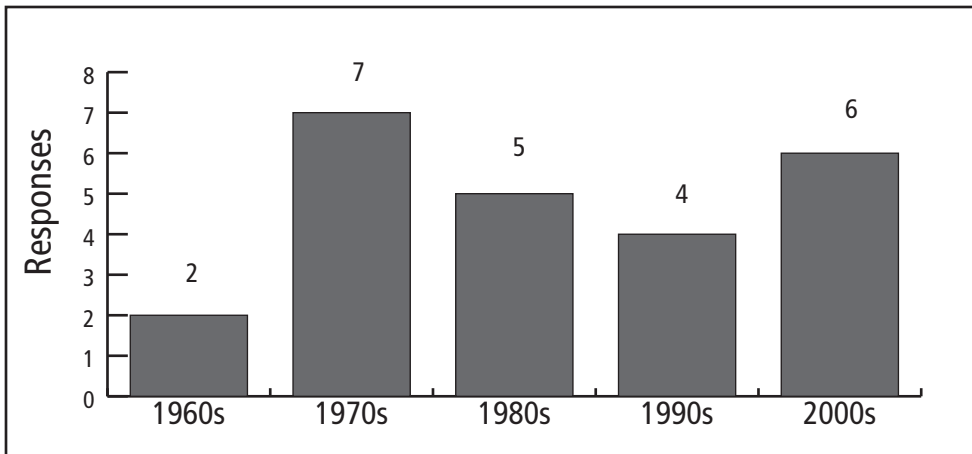
“Office of Procedures, Records, and Forms under Business and Finance.”

“University Secretariat.”

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

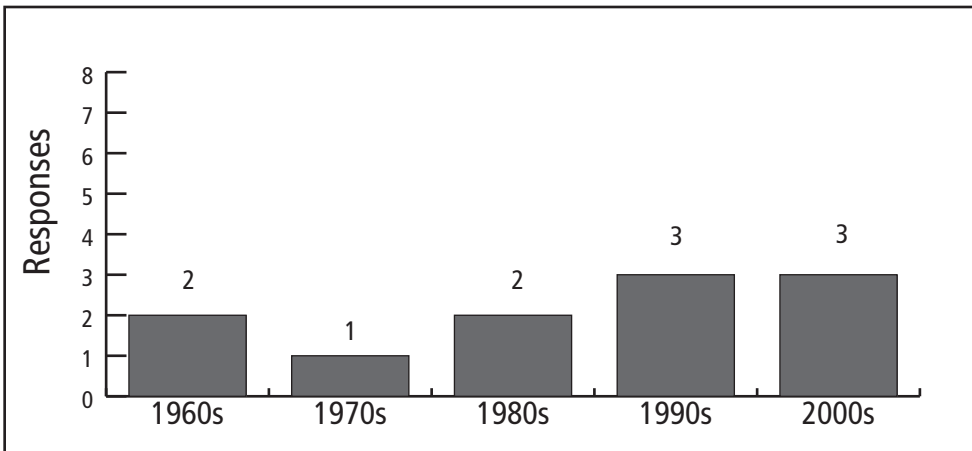
Library Unit N=24

Range: 1965 to 2005



Non-library Unit N=11

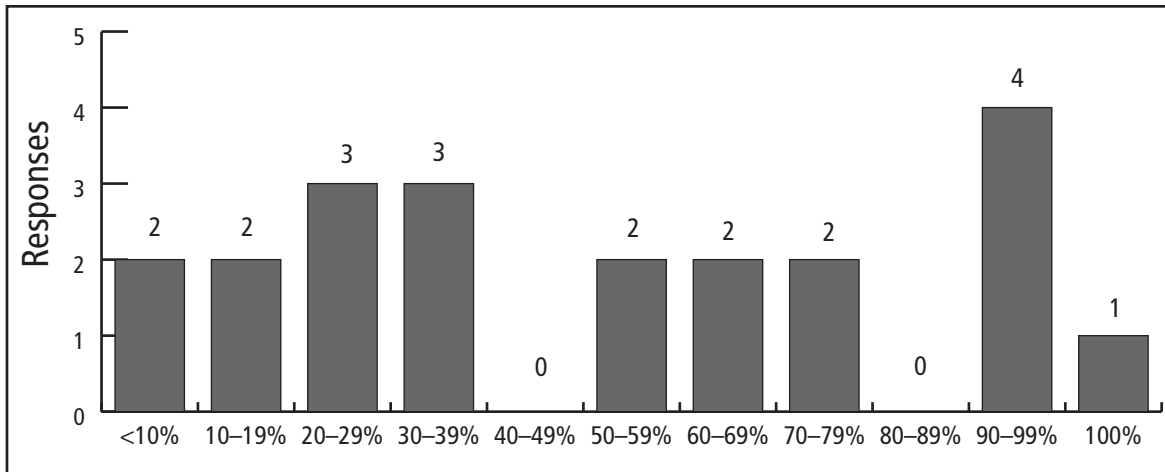
Range: 1962 to 2007



4. About what percentage of the departments in your institution participate in the records management program? N=28

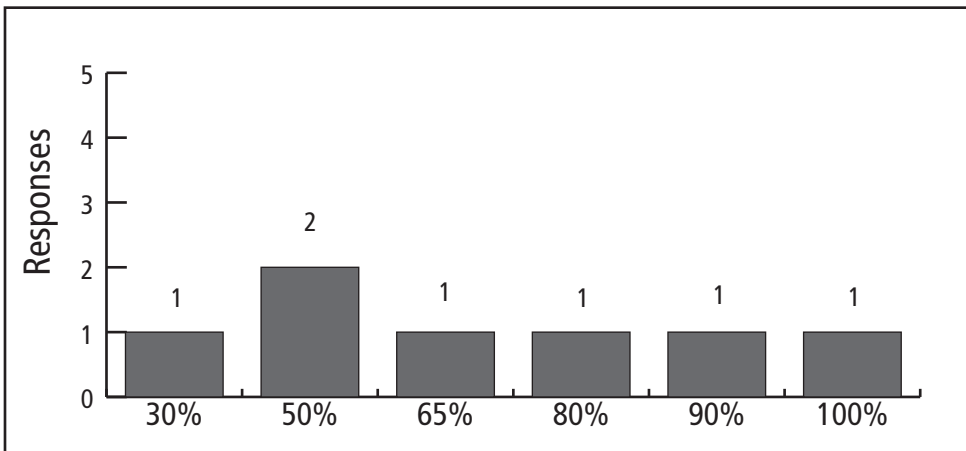
Library Unit N=21

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

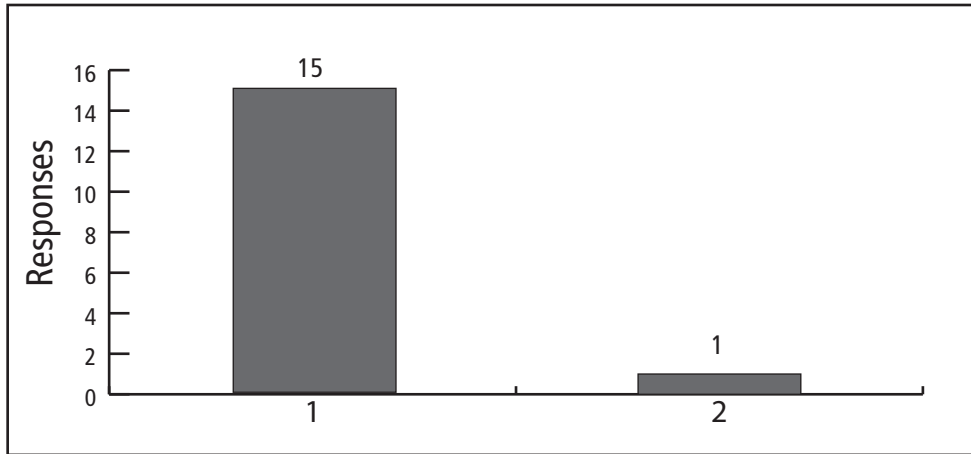
5. Please indicate the title(s) of the staff in the library unit identified above who have responsibility for the records management program, the number of staff in each category (enter a whole number), and an estimate of the percentage of their time that is spent on records management activities (enter 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:

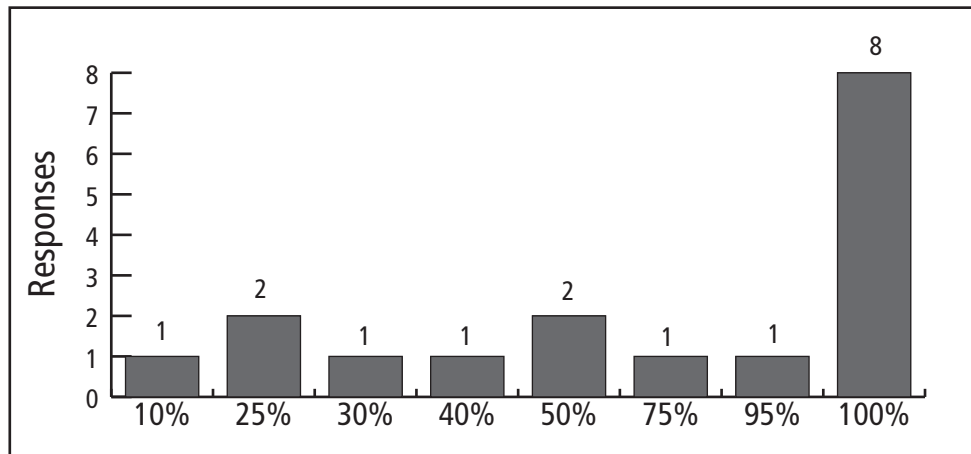
- "Archivist for Records Management"
- "Associate Archivist/ Electronic Records Archivist" (2 positions)
- "Electronic Records Archivist"
- "Head, University Archives & Records Management"
- "Institutional Records Analyst"
- "Records Management Coordinator"
- "Records Manager" (2 responses)
- "Records Officer"
- "University Archivist" (3 responses)
- "University Records Coordinator"
- "University Records Manager" (3 responses)

Number of Individuals



Minimum	Maximum	Mean	Median	Std Dev
1	2	1.1	1	.25

Percentage of Time



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"

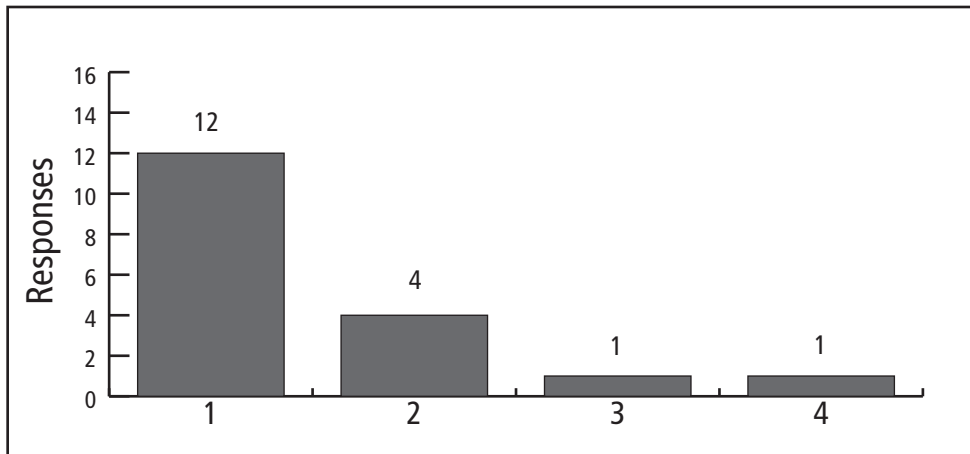
"University Archivist and Electronic Records Archivist"

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

"University Historian and Archivist"

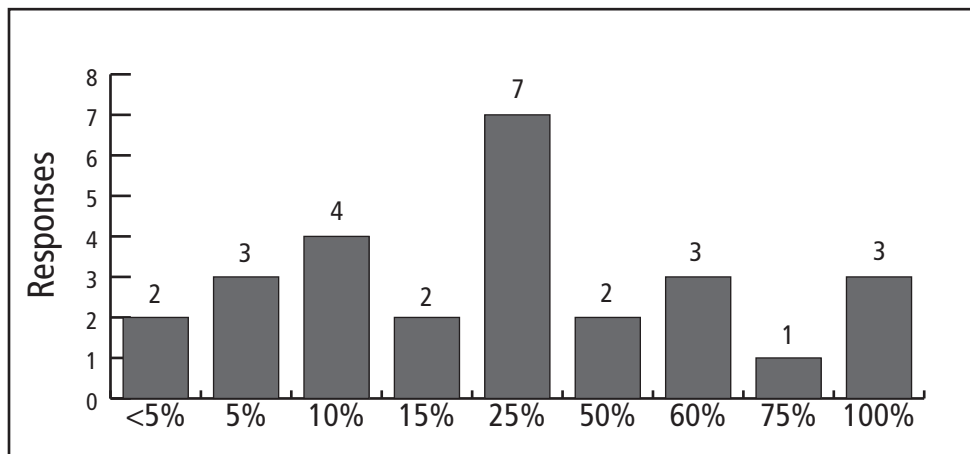
"various"

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"

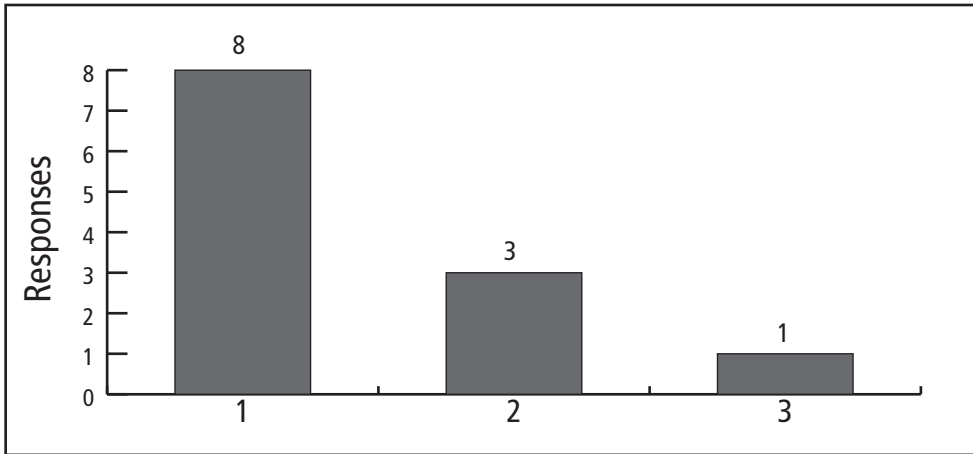
"Records Services Assistant"

"Records Technical Assistant"

"Reference Assistants"

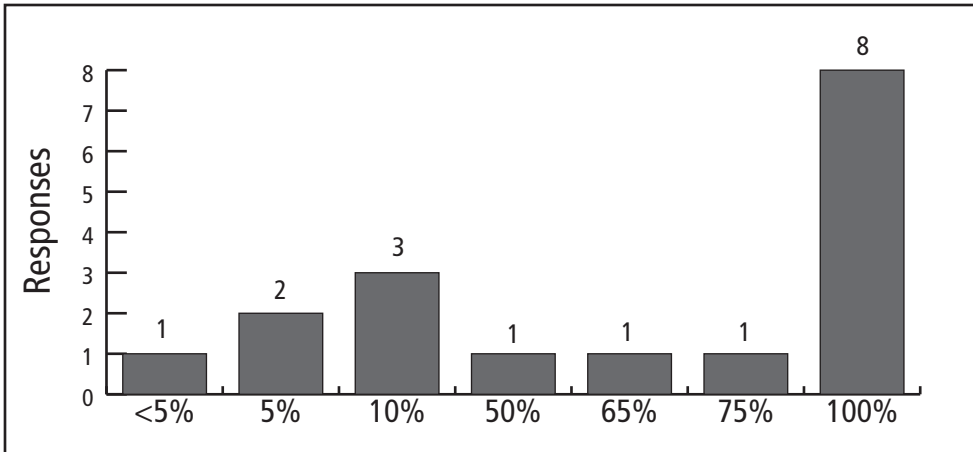
"Senior Library Associate"

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"

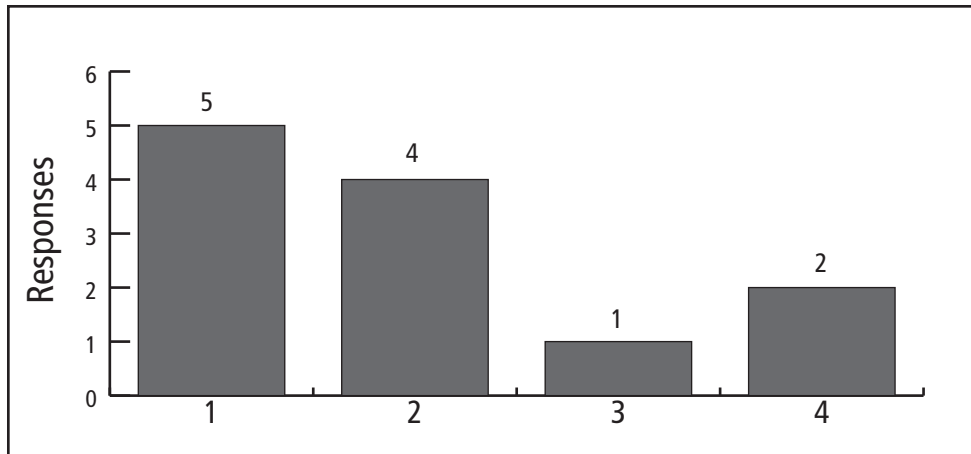
"Student Administrative Assistant"

"Student Assistant" (4 responses)

"Student assistants/work study student assistants"

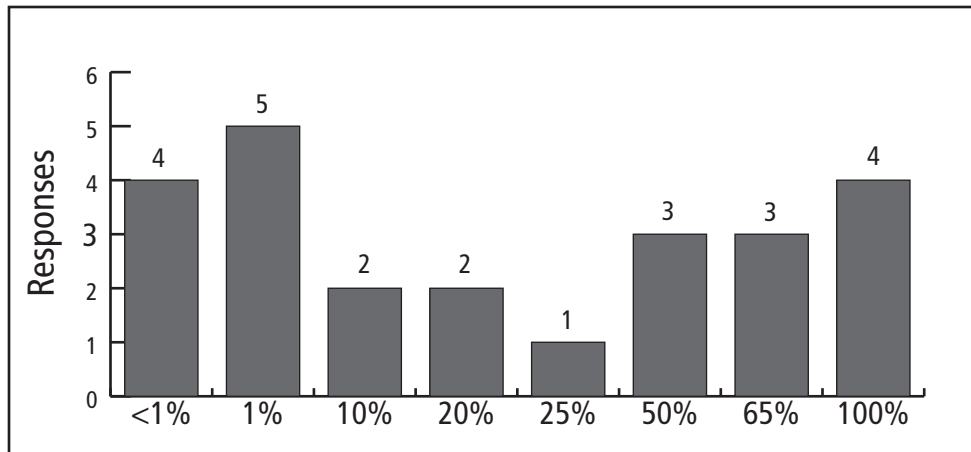
"Student Records Clerk"

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."

ASSESSMENT

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 of Louisville
University at Albany, SUNY	McGill University
University of Alberta	University of Manitoba
Arizona State University	University of Massachusetts, Amherst
Boston College	Massachusetts Institute of Technology
University of British Columbia	University of Michigan
Brown University	University of Minnesota
University at Buffalo, SUNY	North Carolina State University
University of California, Irvine	Northwestern University
University of California, San Diego	University of Notre Dame
University of California, Santa Barbara	Ohio State University
Canada Institute for Scientific and Technical Information	Oklahoma State University
University of Cincinnati	University of Oregon
Colorado State University	University of Pennsylvania
Columbia University	Pennsylvania State University
University of Connecticut	Purdue University
Cornell University	Rice University
Duke University	Rutgers University
Emory University	University of Southern California
University of Florida	Southern Illinois University Carbondale
George Washington University	University of Tennessee
University of Georgia	Vanderbilt University
Georgia Institute of Technology	University of Virginia
University of Illinois at Chicago	Virginia Tech
University of Illinois at Urbana-Champaign	University of Washington
University of Iowa	Washington State University
Iowa State University	Washington University in St. Louis
Johns Hopkins University	University of Waterloo
University of Kansas	University of Western Ontario
Kent State University	University of Wisconsin–Madison
University of Kentucky	Yale University