Records Management

Records Retention Schedules
Agenda

- Legal requirements
- Records Inventory & Appraising Records
- Records and Non-records
- Records Retention Schedules
- Disposal and Retention
- Historical Records
- Shredding Document
- Forms
- Records Transfer to Archives – Historical
- Closing
• Illinois State Record Act (5 ILCS 160) requires all State, County, City, Municipality organizations to maintain an active records management program. This includes your office at Western Illinois University.

• (5 ILCS 160/11) (from Ch. 116, par. 43.14) Sec. 11. Violation. All records made or received by or under the authority of or coming into the custody, control or possession of public officials of this State in the course of their public duties are the property of the State and shall not be mutilated, destroyed, transferred, removed or otherwise damaged or disposed of, in whole or in part except as provided by law. Any person who knowingly and without lawful authority alters, destroys, defaces, removes, or conceals any public record commits a Class 4 felony. (Source: P.A. 92-866, eff. 1-3-03.)
State Records Act (5 ILCS 160)

Six Quick Facts

• Began in 1985 and it covers all public agencies
• It establishes the authority of the State Records Commission
• It defines what is considered a public record
• Agency public records must be available to the public
• Establishes the creation of Retention Schedules for all public agencies
• Agency public records must be disposed of per an approved schedule
Records Inventory – requires

- Field Rep
- Application Number
- Date
- Item Number
- Record Series Title
- Dates
- Volume
- Annual Accumulation
- Number & Size of Files/Documents; Index or Finding Aids
- Arrangement
- Agency
- Division and Subdivision
- Office Location
- Representative
- Records Officer
- Description
- Retention
The Appraisal Process

- The records inventory begins the appraisal process;
- Establishes reasonable retention periods;
- Identifies records for immediate disposal;
- Identifies records of lasting historical value sent to Archives.
Inventory Worksheet – Newly created for HR for a new record type added to the Retention Schedule

* Records Change in an office and so will your Retention Schedule.
Instructions for Completing Inventory Worksheet

The Inventory Worksheet requires the following information:

Field Rep – Name of Unit field representative preparing/processing the worksheet.

Application Number – Assigned by the Unit. [Example: 18-80. The numbers before the dash represent the year in which the request was received; the numbers after the dash represent the next available sequential number within that year. Add-on Application Example: 19-55A. The original application number followed by a letter suffix for internal purposes.]

Date – When the worksheet was completed, not the date on the records.

Item Number – Necessary when completing more than one worksheet.

Record Series Title – The title group of related records used/filled/evaluated as a unit for disposition purposes.

Dates – The first date for a record in the series. NOTE: When a specific date cannot be determined, an estimated date should be given for those records that are no longer created or required.

Volume – The total number of cubic feet of the records series in existence at the time of the inventory.

Annual Accumulation – The volume of records accumulated to date in the series for the record series and identifies the volume of records accumulated annually. When the records are on paper, the volume is in cubic feet; when the records are digital, the volume is in bytes of data.

Number & Size of Files/Documents; Index or Finding Aids – Use this space to indicate the types of documents in the file. Either the physical measurements of the documents (length and width) or a description of the documents (IBM cards, 10mm microfilm, ledger sheets with size, ledger/minutes/Journal bound in books, etc.). Index or Finding Aids – Should be described briefly. Indicate the index media format, such as 3” x 5” index cards or microfilm.

Arrangement – Most records are arranged chronologically, alphabetically, numerically or by status (active/inactive/closed). Secondary or tertiary arrangements should be listed as follows: chronological and alphabetical by license thereunder.

Agency – The official designation of the State agency.

Division and subdivision – The administrative subdivisions of the agency, when known, such as division, bureau, office or section.

Office Location – The location of the office of the person having responsibility for the records.

Representative – Provide the contact information for the person responsible for the record series (name/title/phone).

Note: Continued on other page

Records Officer will assist you completing the Inventory Worksheet
Retention Schedules – Provost and Academic Vice President

Originally Created in 1985 – Current Versions Have Been Digitized And Are Searchable
Records Retention Schedules – Original Copies From 1985
Records Retention and Disposal at WIU

- Over 40 buildings.
- 100 plus undergraduate and graduate degree programs, integrated programs, pre-professional programs, and certificate programs.
- 110 plus administrative offices.
- Retention Schedules contain approximately 450 pages.
- And about 1,500 Items Nos./Record Types.
Types of records

- Non-Records
- Records
Non-records

Examples of Non-Records
• Academic research data
• Personal correspondence and junk mail/spam
• Non-University publications and catalogs
• Working papers and drafts of papers or reports that have been published
• Duplicate material including recipient copies of most internal communications
• Blank forms and stocks of printed or reproduced documents kept for supply purposes
• Material created and preserved only for reference or convenience purposes
• Books, periodicals, newspapers, posters, and other library and museum materials
• Private materials neither made nor received by the University in the transaction of public business
• Material used to facilitate operations but not to support, enable, or document administrative action
• Material considered as University Records that has been duplicated or migrated to another format in accordance with the requirements put forth by the State
• Transitory messages created primarily to communicate information of short-term value. Transitory messages are created in many formats such as email, instant messaging (IM), text messaging (SMS), or paper correspondence.
• Examples of transitory messages include, but are not limited to:
  - reminders to employees about scheduled meetings or appointments;
  - telephone messages (whether in paper, voicemail, or other electronic form);
  - announcements of office events;
  - recipient copies of announcements of campus-sponsored events such as exhibits, lectures, workshops, etc.
Records

There are many definitions of what a record is and is not, however Western Illinois University, as a state institution, recognizes the definition as put forth by the Illinois State Records Act (5 ILCS 160/2) (from Ch. 116, par. 43.5):

Records – All books, papers, digitized electronic material, maps, photographs, databases, or other official documentary materials, regardless of physical form or characteristics, made, produced, executed, or received by any agency in the State in pursuance of State law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the State or of the State Government, or because of the informational data contained therein. [5 ILCS 160/2]
University Records/Documents

University Records are compiled sources of information that represent official actions and transactions conducted by and on behalf of the University and are identified as supporting University functions.

Examples of University records of enduring value may include, but are not limited to:

- Documents representing official policies (University-wide, campus-wide, internal department)
- Recorded correspondence (including email) related to business or academic matters
- Documents representing administrative decisions (University or campus planning, program development, tuition rate changes, reorganization, or consolidation of departments)
- Meeting minutes and agendas
- Annual Budget Reports
- Course catalogs and timetables
- Student grades and transcripts
- Annual Payroll Summary Reports
- Financial documents (purchasing and procurement transactions, reimbursement records)

Examples of University records of temporary value include:

- Purchasing Records for General Operations
- Monthly Budget Reports
- Time Sheets
Consequences for Poor Records Management

• Legal.
• Class 4 Felony for destroying records without approval.
• Interruption to essential service.
• Accountability problems in expenditure of public funds
• Loss of records of historic value.

- What kind of records do you have in your offices that are of historic value?
Additional Archive Materials We Want To Collect
- Save & Record Your History!

- Photos
- Posters
- Programs
- Brochures
- Scrapbooks
- DVD recordings of recitals/events
- Publications
  - Building a Brighter Future for Rural Illinois: The Role of Public Transportation:
  - Comprehensive report / Produced for the Illinois Partners by Illinois Institute for Rural Affairs.
- Papers for student organizations
- Newsletters
- Journal
- Etc.
Archived Documents In Storage At The Malpass Library
Preserving History for WIU
The History Of WIU
- It can not happen without your help!

Send us your history to preserve it!
Historical Documents – Just a few!

Grade books since the beginning of WIU.

Presidential papers from all of WIU’s Presidents

Sequels

Faculty Files
Records Inventory

• The initial records inventory were complete in 1985 for every department on campus.

• Identifies the scope and quantity of records in your office.
  - Does the current Retention Schedule fit my office record?
  - Do I have records not on the Retention Schedule?

• Appraise Records
  - Administrative Value
  - Legal Value
  - Fiscal Value
  - Research, Historical or Archival Value

• Add or amend the Retention Schedule for your office/Department
Completing a Records Disposal Certificate

State of Illinois Records Disposal Certificate

Applicant:

Records Series:

Title of Record Series:

Volume of Records:

Method of Disposal:

Contact:

Date:

Instruction for Completing State of Illinois Records Disposal Certificate

The State of Illinois Records Disposal Certificate requires the following information:

1. Application: The number of the Schedule Application. If you are not in possession of records with different application numbers (i.e., $1234 and $5555), you will need to complete two separate disposal certificates.

2. State Agency: Always Illinois State University

3. Department/Division, Bureau, Section, Name of Office completing this form.

4. Address: Always 1 University Circle, Champaign 61820

5. Contact—Your Name, Email Address, and Phone Number

6. Item No. from Schedule Application—The number for the records listed on the Schedule Application.

7. Records Series Title—The title listed on the Schedule Application.

8. Inclusive Dates: The first date and last date for the records being disposed. The last date entered in this block has to be later than the date listed for the item in the Retention Schedule. Example:

   Recommended: Retain original source outlines in the Dean's Office for three (3) years; then dispose of preserving source outlines has been enclosed or converted to a microform.

   Under Item Date is July 1, 2018, then the last date you could use is July 1, 2021.

If Item Date is July 1, 2020, and you want to dispose of records by fiscal year, the last date would be FY 2021.

9. Volume of Records—When the records are on paper, the volume is measured in cubic feet; when the records are digital, the volume is measured in megabytes, gigabytes, and so on. See Guide for Estimating the Volume of Records.

10. Method of Disposal—Here the records are destroyed, either as shred, incinerate, or recycled.

11. Microfilming Certification Block: You sign here when records having a permanent retention are converted to microfilm in compliance with 44 Ill. Admin. Code 440.05 or converted to digital image in compliance with 44 Ill. Admin. Code 441.00.

   NOTE: Non-permanent records scanned in a digital format do not need a State of Illinois Records Disposal Certificate to dispose of paper copies. A State of Illinois Records Disposal Certificate is required when the digital copy is deleted from the system.

12. Date: The date upon which the records may be destroyed and has to be 30 days the date you sign the form in No. 14.

13. Signature: The individual disposing of the record, who generally serves as the point of contact.

14. Date: Today's date

15. Name: Type or print name and title for the signature provided.

16. Approved: The authorized form has to be signed by the Chairman of the State Records Commission for approval. This is the final one in the disposal authorization process.

For questions please call the Records Officer at (219) 328-2717.
Volume Estimating Guide to complete RDC

WIU Records Management

A Guide for Estimating the Volume of Records

In preparing documents for disposal or transfer it is often necessary to provide the estimated volume of these records. The volume of paper materials is typically expressed in cubic feet, electronic files in Kilobytes (KB), Megabytes (MB), Gigabytes (GB), or Terabytes (TB). This chart provides the standard measurements and estimated cubic footage for common storage forms. There is also a General Formula for converting simple measurements into cubic feet and a method for determining the volume of electronic records.

<table>
<thead>
<tr>
<th>TYPE</th>
<th>SIZE</th>
<th>VOLUME</th>
<th>CUBIC FEET</th>
</tr>
</thead>
<tbody>
<tr>
<td>Box</td>
<td>16&quot; x 12&quot; x 12&quot;</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>16&quot; x 12&quot; x 15&quot;</td>
<td>1.5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>16&quot; x 15&quot; x 15&quot;</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>16&quot; x 15&quot; x 18&quot;</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Standard File Cabinet</td>
<td>Letter</td>
<td>Each 10&quot; drawer</td>
<td>1.5</td>
</tr>
<tr>
<td></td>
<td>Legal</td>
<td>Each 10&quot; drawer</td>
<td>2</td>
</tr>
<tr>
<td>Lateral File Cabinet</td>
<td>Letter</td>
<td>Each 10&quot; drawer</td>
<td>2.5</td>
</tr>
<tr>
<td></td>
<td>Legal</td>
<td>Each 10&quot; drawer</td>
<td>3</td>
</tr>
<tr>
<td>Shelf File</td>
<td>Letter</td>
<td>15&quot; x 30&quot; shelf</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Legal</td>
<td>15&quot; x 36&quot; shelf</td>
<td>5.4</td>
</tr>
<tr>
<td>Open Shelving/Filing</td>
<td>Letter</td>
<td>36&quot; long</td>
<td>2.4</td>
</tr>
<tr>
<td></td>
<td>Legal</td>
<td>36&quot; long</td>
<td>3</td>
</tr>
<tr>
<td>Rolling Recycling Bin</td>
<td>35 gallons, 300 pounds</td>
<td>28 25% x 42</td>
<td>15</td>
</tr>
<tr>
<td>Index Cards</td>
<td>3&quot; x 5&quot;</td>
<td>12&quot; stack</td>
<td>6.1</td>
</tr>
<tr>
<td></td>
<td>4&quot; x 6&quot;</td>
<td>12&quot; stack</td>
<td>8.2</td>
</tr>
<tr>
<td></td>
<td>5&quot; x 8&quot;</td>
<td>12&quot; stack</td>
<td>8.3</td>
</tr>
<tr>
<td>Microfilm</td>
<td>10mm x 100'</td>
<td>50 reels</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>10mm x 125'</td>
<td>44 reels</td>
<td>1</td>
</tr>
<tr>
<td>Microfiche</td>
<td>4&quot; x 6&quot;</td>
<td>12&quot; stack</td>
<td>8.3</td>
</tr>
<tr>
<td>Green hair prote-mos</td>
<td>35&quot; x 16&quot;</td>
<td>10&quot; stack</td>
<td>1</td>
</tr>
<tr>
<td>Electronic Text/Files</td>
<td>See Method below</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

General Formula

To convert measurements into Cubic Feet, use the following formula:

1. Measure in inches and then multiply the item’s Length x Width x Height
2. Divide the total by 1728 = CUBIC FEET per item

One cu. ft. of records weighs about 30 lbs. 60 lbs. x 1728 cu. ft. of records equals approximately 10 cu. ft.

Method for finding volume of electronic records

Right-click on the file or folders you plan to delete
Send down to Properties on the dropdown menu
"Size on disk" will tell you how many KB, MB, GB, TB in that unit

To determine the size of multiple files, follow this link: [Electronic Record Size](#) - watch a short video.
Malpass Library’s Large Capacity Shredder
- Disposing Of Your Approved Documents For Shredding By The State Records Commission

Free use available for all departments at WIU.
Forms You Need for Records Management

- Retention Schedule – Covering your Office
- University Wide Retention Schedule
- Record Disposal Certificate (RDC)
- RDC Instructions
- Records Transfer Sheet
- Inventory Work Sheet
- Inventory Work Sheet Instructions
- State Memorandum
CLOSING – We Covered

- Legal requirements
- Records Inventory & Appraising Records
- Records and Non-records
- Records Retention Schedules
- Disposal and Retention
- Historical Records
- Shredding Document
- Forms
- Records Transfer to Archives – Historical
- Closing

*If you have records that are not listed in Records Retention Schedule, you may not dispose of those records until they are officially in the Retention Schedule. Disposing of those records without authorization may be considered a Class 4 Felony.