RECORDS RETENTION PROGAM MANUAL

TABLE OF CONTENTS

Section Title	Page Number
RECORD RETENTION GENERAL POLICY	Page 2
CONTACT INFORMATION	Page 4
EMAIL RETENTION PROGRAM	Page 5
GUIDELINES FOR DEPARTMENTS/OFFICES	Page 8
CONFIDENTIAL RECORDS	Page 10
ELECTRONIC RECORDS	Page 11
GLOSSARY OF TERMS	Page 13
LITIGATION HOLDS	Page 13
KEY TO RETENTION SCHEDULE MEDIUM CODES	Page 14
INSTRUCTIONS FOR COMPLETION OF THE CERTIFICATE OF RECORDS DESTRUCTION	Page 15
FORM: CERTIFICATE OF RECORDS DESTRUCTION (required for destruction of paper and electronic files)	Page 18
FORM: TRANSFER TO ARCHIVES (authorized by University Archives)	Page 19
GUIDETO ASSESSING VOLUME OF RECORDS	Page 20
FREQUENTLY ASKED QUESTIONS	Page 21
INSTRUCTIONS: COMPLETION OF THE RECORD SERIES INVENTORY (used newly formed areas and to add new records to existing retention schedules)	Page 25
FORM: RECORD SERIES INVENTORY	Page 26
RECORD DESTRUCTION OPTIONS	Page 30

(5/2017)

INTRODUCTION

In compliance with the *Ohio Revised Code, Section 149.33*, Cleveland State University, by the authority of its Board of Trustees, has established a records retention program to ensure the proper scheduling, storage and disposal of university records. The program is under the jurisdiction of the Office of General Counsel, and based on "Records Retention for Public Colleges and Universities in Ohio: A Manual, developed in cooperation with the Inter-University Council of Ohio, Ohio Technical and Community College Association and Information Requirements Clearinghouse.

WHAT THE PROGRAM DOES:

The university records retention program determines the period of time for retaining records and controls the ultimate disposition of records at the appropriate time.

WHY:

The university is prohibited from removing, destroying, mutilating, transferring or otherwise damaging or disposing of, in whole or in part, any records except in accordance with a records retention program established by the university (Ohio Revised Code 149.351.)

- The *Ohio Revised Code* places responsibility on each individual university/college in Ohio for creating and administering its own records retention program.
- To provide for legal disposal of non-current records through proper documentation and approval.
- To properly manage non-current records in a uniform and consistent manner campus wide.

BENEFITS OF THE PROGRAM:

Cost Savings

Space Savings – frees office space used to store records that have past their retention periods.

Staff savings – reduces staff time spent managing unnecessary and valueless records.

Equipment savings – reduces the amount of filing equipment needed to store records.

Improved Access to Valuable Information

The program will ensure that the university complies with laws governing university records.

Regularly destroying valueless records will make it easier to retrieve current information.

Consistency of records destruction will occur. The program provides for the systematic destruction of records in accordance with university policy and ensures that records are not prematurely destroyed.

The program creates an awareness of documents with permanent archival value.

The program provides for protection during litigation, government investigation or audit. It ensures that designated records exist and that other designated records do not exit.

Involvement

All departments/offices/programs that create and/or maintain records and receive funding from the University are involved. All staff/faculty are to become familiar with and abide by the university records retention procedures.

Definition of a Record

A record is any document, devise, or item, regardless of characteristics or physical form, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, function, policies, decisions, procedures, operations, or other activities of the office (ORC 149.011 (G.)

What to Do

One or more staff members will be designated by the department/area manager/director/chair as the records retention liaison. Their names are to be submitted to the university records retention manager. If that person leaves the position, the university records retention manager should be notified of the replacement. The liaisons are responsible for the records retention process in their respective areas and are the contacts for the university records retention manager. Staff normally serving in this capacity are familiar with the records of their respective areas.

Purge and destroy files in accordance with the university's records retention schedule.

It is recommended that files are reviewed for retention at least annually and record retention procedures are incorporated into daily record maintenance and organization.

Coordinate the records retention process for your department/office.

Maintain documentation of retention activities for your department/office to demonstrate compliance with the program.

Disseminate information and updates concerning records retention with staff in your area, including faculty.

In the case of newly formed areas, work with the records retention manager to identify records maintained by the area and completion record inventory forms.

Alert the university records retention manager when leaving your position.

Functions of the University records retention manager

Implementation, coordination and maintenance of the university records retention program.

Works with departments/offices record liaisons to provided needed training on procedures, answer questions and provide assistance, if necessary.

Monitor the record retention schedule, identify, and update the retention schedule and procedures. Notify departments/offices of changes with the retention schedule.

Approve, maintain and monitor certificates of record destruction.

Monitor proper destruction through documentation on the certificates of records destruction. Make recommendations concerning destruction of records.

Develop, update and maintain the university's records retention manual.

Provide statistical evidence of record retention activities through the certificate of records destruction log.

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EMAIL RETENTION POLICY

SCOPE

These guidelines apply to all employees of Cleveland State University (faculty and staff).

PURPOSE

- To provide guidelines for the retention of e-mail messages to comply with the university's records retention program.
- To limit the liability of university employees and the University for destroying records that should not be destroyed.
- To give employees the authority to destroy files in accordance with the university's records retention schedule after obtaining proper approvals.

OWNERSHIP

Email messages are the property of the university, not its employees or vendors.

DEFINITIONS

Records – Includes any document, device, or item, regardless of physical form or characteristic, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organizations, functions, policies, decisions, procedures, operations or other activities of the office *(Ohio Revised Code 149.011(G.)*

Public Record – Any record that is kept by any public office, including, but not limited to, state, county, city, village, township and school district units, except that "Public Record" does not mean any of the following: medical records including counseling records, probation and parole proceedings, adoption proceedings, confidential law enforcement investigatory reports, intellectual property records, such as research conducted by faculty, donor profile records, or all records about donors or potential donors to the university, records subject to attorney/client privilege, student educational records as defined by the Family Educational Rights & Privacy Act of 1974, as amended. *(Ohio Revised Code 149.43)*.

E-mail Messages – Electronic documents created and sent or received by a computer system. This definition applies equally to the contents of the communication, the transactional information, and any attachments associated with such communication. Thus, e-mail messages are similar to other forms of communicated messages, such as correspondence, memoranda, and circular letters. *(Managing Electronic Mail Guidelines – ERC Web Site)*

(E-mail Retention Policy Continued)

RETENTION

E-mail itself is not considered a record series or category. It is a means of transmission. Retention and disposition of e-mail messages must be related to the information they contain or the purpose they serve.

E-mail messages are to be categorized and retained according to the university's records retention schedule and based on the subject or the purpose of the e-mail message.

E-mail stored on official university systems will generally be preserved for no longer than thirty days after deletion by the user. Refer to the section 3344-7-08 of the university email policy. Messages that are to be retained longer than thirty (30) days in accordance with the university's records retention schedule are to be printed or saved to disk. Once printed or saved, the e-mail may be deleted.

As with any format, an e-mail message is considered a public record (if it meets the definition of the Ohio Revised Code for a record (refer to definitions in this manual.) The office of general counsel handles public record requests. These records must be maintained and made accessible to the public upon request for the appropriate retention period. The content and any attachments associated with the message are considered a record if it meets the definition of a record per the Ohio Revised Code. Purging all messages after a set amount of time is not appropriate for managing e-mail.

When an employee leaves a position, computer files, including e-mail may not be automatically deleted. Deleting in such instances must follow the university's record retention schedule.

EMAIL GROUPS

There are (4) four categories of email retention:

1. **Non-record materials (personal emails);**
2. **Transient Emails (temporary emails);**
3. **Record Emails (those categorized into the retention schedule);**
4. **Permanent Emails (also categorized into the retention schedule.)**

After brief periods in your **IN AND SENT** e-mail boxes, messages should be transferred to folders to facilitate categorizing for the retention schedule.

(E-mail Retention Policy Continued)

It is recommended that folders are set up to help categorize your emails. For example, the following folders may be set up:

Non-Record Emails – Includes personal e-mails that do not document the organizations, procedures, operations and other activities of the office. This includes unsolicited promotional materials, most listserv documents, personal correspondence, and non-state publications – materials that are publicly available to anyone, files copied or downloaded from internet sites, etc. These materials may be retained at the discretion of the sender and receiver. However, it is recommended that these e-mails be deleted immediately or maintained in a "Non-Record" folder and deleted later.

Transient (Temporary) Records - Transient Documents include telephone messages, drafts and other limited documents that serve to convey information of temporary importance in lieu of oral communication. These items would fit into the Miscellaneous – Convenience Copies series on your retention schedule. Retain these items until no longer of administrative value, then delete.

Record E-mail – Includes all other e-mail whether considered a public record or not. These messages have significant value - administrative, legal and/or fiscal value. These e-mails are to be categorized under the appropriate records series of the records retention schedule and retained as required.

Permanent E-mail – Are also governed by the records retention schedule. They may be maintained several ways:

- **OFFLINE STORAGE** – Printing your emails and filing or saving to disk.
- **ONLINE STORAGE** – Archiving

Guidelines for Departments/Offices

Each employee of the university is required to follow appropriate procedures when purging and destroying records.

Each manager/supervisor/chair is required to appoint one or more staff members from their area to serve as their records retention liaison. The records retention liaison is normally a staff person who is familiar with the records of the specific area.

The records retention liaison will:

- Oversee staff in their area requesting to destroy records.
- Incorporate records retention procedures into their daily record maintenance practices.
- Routinely review the records of their area for expired retention periods. Use the university records retention schedule for this purpose.
- Complete the proper forms to request destruction or transfer to archives – The Certificate of Records Destruction or The Transfer to Archives form.
- Obtain proper approvals PRIOR to destruction of records. Obtain mangers signature and the university records retention manger's signature. Approvals are obtained through completion of the Certificate of Records Destruction or Transfer to Archives form. After destruction takes place, complete the bottom portion of the Certificate of Records Destruction and forward to the university records retention manager.
- Maintain copies of the retention forms for their files and forward completed copy to the university records retention manager. Inform new employees in your area of the retention procedures for your area and if necessary refer them to the university records retention manager for further direction.

Some colleges appoint one liaison in the dean's office to oversee the process of the college as well as one staff person per department. This is not mandatory, however it is required to be at least one staff person per department designated. Also many areas find that designating the school breaks (holiday break and summer break) to review, purge and destroy files works well for them.

Many departments/offices centralize the retention process, requiring staff to coordinate their approval and destruction through the department's record liaison.

Wait until you have received the certificate of destruction back with the signature of the university records retention manager before destruction.

Arrange for the destruction of the records. This can be done internally if the department has a shredder or through an outside vendor. Non confidential records may be disposed of in the recycle bins. Records containing confidential information, such as social security numbers, homes addresses, and other personal privacy information must receive special care. Confidential information must be shredded, pulped or incinerated.

When using an outside company, obtain a "certificate of confidentiality" from the company to ensure your information remains confidential while in their possession or have a statement added to your invoice guaranteeing the confidentiality of your records until destruction. Outside companies charge for destruction services, therefore the company used is a departmental decision.

Non-Confidential records are to be recycled.

Archival records are to be transferred to the Library Archives.
Complete the Transfer to Archives form and contact the Archivist for boxes. An index of the records has to be prepared and a copy included in each box and a copy retained for your files.

Please destroy records within 2 months of approval

It is the department's responsibility to ensure the confidentiality of their records and proper disposal. It is not recommended to dispose of confidential records through Facilities Management. However, if a decision is made to do so, confidential records must be picked up in lockable bins. The department must ensure the bins are locked before they leave the area. The department will be held responsible for the confidential handling of their records.

CONFIDENTIAL RECORDS

Confidential Records - *Any record that has been designated as confidential by statute or that includes information or matters considered to be privileged and to which public access has been generally denied by law and to which only government officials who need to use the information in the performance of their duties are permitted access.*

Safe and Secure Disposal - Appropriate safeguards are to be taken against unauthorized or accidental disclosure of confidential records. Reasonable care should be taken in the disposal of confidential information, including its protection during storage, transportation, handling and destruction. It is the department's responsibility to ensure that their records remain confidential throughout the destruction process. Records containing confidential information may not be simply thrown out with trash.

Electronic records containing confidential information should be deleted and the recycle bin emptied. Keep in mind that reconstruction and restoration of deleted files is possible with computer specialists. For confidential records stored on a hard drive, contact the computer help desk for assistance. Back-up tapes, disks, film, audio and videotapes are to be physically destroyed.

The following records are confidential and cannot be released unless the staff member, student grants access in writing.

- Individual education records of living and living former students;
- Individual employment records of living current or former faculty and staff;
- Records that include protected health information;
- Other records where usage might be an invasion of privacy;
- Records whose use is restricted by contract.

For more detail see - Ohio Sunshine Laws Resource Manual.

ELECTRONIC RECORDS

Electronic records are records that contain machine readable, as opposed to human readable information. Information is electronically encoded for storage and processing by computers, video devices, audio equipment, or other machines.

The Ohio Revised Code (ORC) includes no specific definition for electronic records; however *Ohio Revised Code Section 149.011(G)* provides the following definition:

> *Records includes any document, device, or item regardless of physical form or characteristic, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.*

These guidelines enable state agency employees to comply in their use of email with Ohio public records law, and establish guidelines that promote the effective capture, management and retention of electronic messages as public records.

Each department/office is responsible for informing the university records retention manager of records that are maintained in electronic form. These records are identified on the record retention schedules in the medium code column with an "E." Many records are maintained in both paper and electronic form. A certificate of records destruction is required for both paper and electronic records.

Permanent Storage

A number of dispositions for records are listed as permanent. The electronic form of these records must be recopied or migrated onto new media at predetermined intervals (as reflected in the records retention schedule) in order to extend their lives for the designated term. These records must also be organized for effective retrieval. In that media outlives hardware, this would involve archiving systems, spare parts and technical manuals. It is more practical to transcribe the information to the next generation hardware and media.

Media Life Expectancies

Media Type	Life Expectancy*
Magnetic data and cassette tapes	10-20 years
Nintendo Cartridge	up to 10 years
Floppy Disk	10-20 years
CDs and DVDs	5-10 years unrecorded; 2-5 years recorded
Blu-Ray	Not certain, probably over 2-5 recorded
M-Disc	1,000 years (theoretically)

Media Type	Life Expectancy*
Hard Disk	3-5 years
Flash Storage	Depends on write cycles, 5-10 years or more

*Life expectancies are based on the following factors:

- Quality with which the media was manufactured
- Number of times the media is accessed
- Care with which the media is handled
- Storage temperature and humidity
- Cleanliness of the storage environment
- Quality of the device used to write to or read from the media

RECORDS RETENTION PROGRAM GLOSSARY

ACTIVE RECORD - A record that is regularly referenced or required for current use.

ADMINISTRATIVE VALUE – A record has administrative value if it is used by the university to carry out its duties. Administrative value is based on how often and for how long the record is used by office personnel, and whether a program would be jeopardized upon disposal of the record.

CONFIDENTIAL RECORD - A record where disclosure of information is limited or prohibited. Usually records that contain identifying information: e.g. names, social security numbers, account information, medical information.

DISPOSITION - The final action recommended for a record series on the records retention schedule, (e.g., destroy, archives.)

DUPLICATE - A facsimile or replica "produced by the same impression as the original or from the same matrix as the original by means of photography, including enlargements and miniatures, or by mechanical or electronic re-recording, chemical reproduction, or other equivalent techniques, which accurately reproduces the original." (Uniform Rules of Evidence)

FISCAL VALUE – A record has fiscal value if it pertains to the receipt, transfer, payment, adjustment, or encumbrance of funds, or if it is required for an audit.

HISTORICAL VALUE – A record has historical value if it documents the university's organization, policies, decisions, procedures, operations, or other activities, or if it contains significant information about people, places, or events.

INACTIVE RECORD - Records still needed by an organization, but not for current operations.

INDEFINITE - A term used in records retention schedules to indicate the retention period for certain records that cannot be determined in advance and these records must be reviewed periodically to determine whether they can be destroyed.

LEGAL VALUE – A record has legal value if it documents or protects the rights or obligation of citizens or of the agency that created it.

LITIGATION- A proceeding in a court of law to enforce a right. Same as a lawsuit.

LITIGATION HOLD – the suspension of record destruction when the university has knowledge of a potential claim, lawsuit, government investigation, subpoena, summons or other ongoing matter. A litigation hold is issued by the office of general counsel to the appropriate deans, directors, and/or managers. **These officials are responsible for notifying all personnel in their area who may be custodians of records.** Any university official who receives notice of a litigation hold must promptly acknowledge receipt of the litigation hold to the office of general counsel and ensure that the subject records are retained until the office of university general counsel provides notice that the litigation hold has been released. A litigation hold shall apply to all relevant records, regardless of the format in which they are retained.

ORIGINAL - The "writing or recording itself or any counterpart intended to have the same effect by a person executing or issuing it. If data are stored in a computer or similar device, any printout or other output readable by sight, shown to reflect the data accurately is an original." *(Uniform Rules of Evidence.)*

PERMANENT - The continued preservation of information or other matter forever; without any limit in time. A term sometimes used in laws to mean durable rather than forever. The records may not be archival but still need to be maintained.

RECORD - A record is any document, devise, or item, regardless of physical form or characteristics, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, function, policies, decisions, procedures, operations, or other activities of the office *(Ohio Revised Code 149.011 (G.)*

RECORD SERIES - **FILE SERIES** – Documents or file units arranged in accordance with a filing system or maintained as a unit because they relate to a particular function or subject, results from the same activity, have a particular form, or some other relationship arising from their creation or use.

RECORDS DESTRUCTION - The process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.

RECORDS RETENTION PERIOD - The period of time during which records must be maintained by the university because they are needed for operational, legal, fiscal, historical or other purposes. Records should be reviewed for destruction or archive transfer after the expiration of the retention period.

RECORDS RETENTION PROGRAM- Policies and procedures that determine the period of time for retaining records and controls the ultimate disposition of records at the appropriate time.

RECORDS RETENTION SCHEDULE - A document prepared as part of a records retention program that lists the period of time for retaining records.

SUBJECT FILE - Sometimes known as the central file, general file or general correspondence file; consists of letters, memos, enclosures, reports, informational files and miscellaneous materials arranged by subject.

VITAL RECORD - Records that contain information needed to establish or continue the university in the event of a disaster; those necessary to recreate the university's legal and financial position, those necessary to preserve the rights of the university, its employees and students.

RECORD RETENTION CERTIFICATE OF DESTRUCTION KEY FOR MEDIUM CODES:

(See certificate of records destruction form)

P = PAPER

E = ELECTRONIC RECORDS:

TYPES:

A = AUDIO TAPE

CD = COMPACT DISK

DB = DATABASE

HD = HARD DRIVE

M = MICROFILM

MF = MICROFICHE

MT = MAGNETIC TAPE

PS = PEOPLESOFT

V = VIDEOTAPE

CERTIFICATE OF RECORDS DESTRUCTION INSTRUCTIONS

The Certificate of Records Destruction is the University's official documentation that specified records were destroyed on a certain date, in a particular manner and in the normal course of business. It also documents that proper approvals were received prior to the destruction of records.

Review your records retention schedule routinely to identify records that have exceeded retention periods. Complete the Certificate of Records Destruction only with those records whose disposition is listed as "Destroy." Obtain the department chair/manager/director signature. Forward the certificate to the Records Retention Manager for approval **before records destruction**.

Complete the following sections of the certificate of destruction:

Division/College - The area your office/department is under. (e.g., College of Law, Business Affairs and Finance)

Office/Department - Name of your department or office, (e.g. Accounts Payable, Art Department)

Person completing form - Generally the department's records liaison or designee.

Approval Signature - Signature of the appropriate chairperson/supervisor/director, etc. and the date.

Approval Signature Records Retention Manager - Signature of University's records retention manager and the date.

Record Series Title - Name of the records series as listed on your records retention schedule.

IUC Retention Number - List the retention group number as listed on your records retention schedule.

Medium Code – Whether the format of the items are (P) paper or (E) electronic.

Volume - Give an estimate of the volume of records to be destroyed. Refer to *Guidelines to Assessing Volume of Records* or *Guide to estimate feet occupied by magnetic media*.

Date of Series - List beginning and ending dates for the records to be destroyed using month and year, e.g., 7/2000 - 6/2002. Form cannot be approved without these dates.

***IMPORTANT:** THE BOTTOM PORTION OF THE FORM IS TO BE COMPLETED **AFTER** DESTRUCTION TAKES PLACE. AND A COPY FORWARDED TO THE UNIVERSITY RECORDS RETENTION MANAGER.

Method of destruction – Recycling (Consider this method only when confidentiality is not a risk), Shredding/Incinerating/Pulverizing (Use these methods when confidentiality is a risk).

Date of destruction - List actual date of destruction.

Certification - Signature of designee certifying that the records were destroyed on the date listed and in the manner indicated.

> **NOTE:** The university records retention manager must review and approve the records destruction certificate before the destruction of records can take place. If there are problems with the request, the records retention manager will contact the records liaison. Destruction of records may begin only after the certificate has been signed by the university's' records retention manager and returned. The record liaison or designee should sign the certificate certifying destruction has taken place after the completion of the destruction process and return a signed copy of the certificate to the university records retention manager. Certificates may be sent by inter-office mail, faxed or emailed to the university records retention manager. Confidential records are to receive special care and destroyed in the appropriate manner.

IS THERE A LITIGATION HOLD ON YOUR RECORDS?

LITIGATION HOLD – The suspension of record destruction when the university has knowledge of a potential claim, lawsuit, government investigation, subpoena, summons or other ongoing matter. A litigation hold is issued by the office of general counsel to the appropriate deans, directors, and/or managers. **These officials are responsible for notifying all personnel in their area who may be custodians of records.** Any university official who receives notice of a litigation hold must promptly acknowledge receipt of the litigation hold to the office of general counsel and ensure that the subject records are retained until the office of university general counsel provides notice that the litigation hold has been released. A litigation hold shall apply to all relevant records, regardless of the format in which they are retained.

Certificate of Records Destruction

DIVISION/COLLEGE: _____

OFFICE/DEPARTMENT: _____

PERSON COMPLETING FORM: _____
(Please Print)

MANAGER/CHAIRPERSON:_____**DATE:**_____
(Approval Signature) *(Obtain prior to forwarding to Retention Manager)*

UNIVERSITY'S RECORDS RETENTION MANAGER:
_____**DATE**:_____
(Approval Signature)

*** IS THERE A LITIGATION HOLD ON THESE RECORDS? (Circle) YES NO**

Record Series Title (As listed on your retention schedule) Name of Documents	**IUC Retention No.**	**Medium Code** (paper, electronic)	**Volume** (see volume guides)	**Date of Series From: Mo/Yr To: Mo/Yr**

(More than one series can be listed on a page)
Page_____of_____
***Complete this portion after destruction takes place and forward copy to retention manager**
Method of Destruction:_____**Date of Destruction**: _____
I certify that the above listed records were destroyed on the date listed above and by the method listed above.
Signature of Designee _____
Department/Office maintain copy, copy or original to university records retention manager. Form may be faxed or emailed. To be returned by fax please include fax number.
*** See Program Manual CRD Instructions Regarding Litigation Holds**

Cleveland State University Archives

Certificate of Records Transfer

DIVISION/COLLEGE:

_____

OFFICE/DEPARTMENT:

_____

DEPARTMENT CHAIR/MANAGER/SUPERVISOR:

_____**DATE**: _____

(Approval Signature - *Obtain prior to transferring records to Archives*)

UNIVERSITY ARCHIVIST:

_____**DATE**: _____

(Approval Signature)

Attach Record Index

Record Series Title	**Medium Code**	**Volume**	**Date of Series From: Mo/Yr To: Mo/Yr**

More than one series can be listed on a page
Page_____of_____

I certify that the above listed records were transferred to Archives on the above date:

Signature of Designee: _____

(Record Liaison)

Complete and forward to university archives (RT 319) to obtain boxes. Forward Complete Copy to: archivist, university records retention manager, your file. Archive is located in the Michael Schwartz Library.

GUIDE TO ASSESSING VOLUME OF RECORDS

FILE CABINET DRAWERS AND STORAGE BOXES
Use to complete volume column on Certificate of Destruction and Transfer to Archive Forms

SIZE	CUBIT FEET	APPROXIMATE NUMBER OF DOCUMENTS
1 letter size file drawer	1.5	4,500
2 letter size file drawers	3	9,000
3 letter size file drawers	4.5	13,500
4 letter size file drawers	6	18,000
5 letter size file drawers	7.5	22,500
1 legal size file drawer	2	6,000
2 legal size file drawers	4	12,000
3 legal size file drawers	6	18,000
4 legal size file drawers	8	24,000
5 legal size file drawers	10	30,000
1 letter size box (12x10x15)	1	3,000

NOTE: 12X10X15 = LETTER SIZE STORAGE BOX
2 of these boxes will hold the contents of 1 legal sized file drawer
3 of these boxes will hold the contents of 2 letter sized file drawers

YOU ARE ONLY EXPECTED TO GIVE AN ESTIMATE OF THE VOLUME

Frequently Asked Questions

Question: Is there a central place where inactive records can be stored?
Answer: No. The university does not have a central storage area for records. Each department/office is responsible for storage of their records.

Question: Why can't I send my inactive records to the university archives for storage?
Answer: The archives are not a general storage area for inactive records. Records transferred to the archives have established "historical value." Many of these records are identified on the records retention schedule. Approval is required by the Archivist. Contact the Library Archivist for more information.

Question: May we use outside vendors to destroy records?
Answer: Yes, however for small amounts, many departments handle the destruction themselves. This can also be a labor intensive project so many areas hire an outside vendor. The vendor is of the department's choosing.

Question: Do I need to complete a certificate of destruction before I destroy duplicates?
Answer: No. However, it is the responsibility of the record liaison and the staff destroying the documents to ensure they are duplicates.

Question: Do I need to complete a certificate of records destruction for electronic records?
Answer: Yes. Electronic records are documented in a fashion similar to hard copy using the records retention schedule.

Question: Can I toss records when I feel like it or because of lack of storage because I know other areas maintain the records?
Answer: No. All records are to be maintained according to the records retention schedule. This is because we do not yet have an official listing of areas required to maintain particular records as a reference. As a safety precaution, all areas are to abide by the retention schedule.

Question: What happens to the records of faculty and staff separating from the university?
Answer: Personal records are handled at the discretion of the faculty or staff person they belong to. Records created for the university should be left with the college/department main office. However, records should be reviewed, purged and destroyed before the person leaves, if

appropriate. Prior to separation the faculty/staff shall work with the department record liaison to determine the disposition of the records in accordance to the records retention schedule.

Question: When is a record no longer considered active?
Answer: When it is no longer reference or have an operational need.

Question: How do I measure the volume of my records?
Answer: Refer to the reference, Guide to Assessing Volume of Records. The volume is an estimate.

Question: Do I need to contact the university records retention manager concerning records I want to archive?
Answer: No. Contact the university library archivist. Make sure the disposition on the schedule is listed as "archive". Direct all questions concerning the historical value of records to the university archivist. Forward a copy of the "Transfer to Archives" form to the university records retention manager after transfer.

Question: When are email messages records?
Answer: You should treat email messages the same way you treat paper correspondence. Emails are records if they document the organization, functions, policies, decisions, procedures, operations or other activities.

Question: Do I have to manage incoming and outgoing emails as records?
Answer: Yes. Both sender and recipient have the responsibility of categorizing their emails in appropriate folders and abiding by the records retention schedule.

Question: How can email be an official record if it is not signed?
Answer: A signature does not make a document a record. Many types of records, such as manuals, reports, photographs and maps, do not contain signatures, but they can still be records.

Question: If an e-mail record is sent to several recipients, which copy is the official record?
Answer: It depends. Different copies of the same message may be records. If you take any official action related to a message, and if the message is needed for adequate and complete documentation of the action, the message would be a record in your office, regardless of whether copies are retained elsewhere.

Question: What about attachments to an e-mail message? Do I have to keep them as well?

Answer: Yes. If a message qualifies as part of the documentation of your activities, you need to make sure that related items that provide context for the message are maintained as well. This includes attachments. You would keep them under the same conditions that you would if they were paper documents.

Question: Are there special requirements for retaining e-mail messages as records?

Answer: The basic requirements that apply to all records apply to e-mail records as well. However, you should make sure that records made or received through e-mail:

> Includes transmission data that identifies the sender and the recipient(s) and the date and time the message was sent and/or received;
>
> When e-mail is sent to a distribution list, information identifying all parties on the list is retained for as long as the message is retained; and
>
> If the e-mail system uses codes, or aliases to identify senders or recipients, a record of their real names is kept for as long as any record containing only the codes or aliases. For example, if you are communicating with someone via the Internet, and their e-mail address is JerryR@...) then a record must be kept of who they are. This might be done simply by always including their full name in the body of the message.

Question: Why is it necessary to keep the transmission data about the sender, receiver, date and time of the email?

Answer: You would not delete the names of the sender and addressee, the date, or a time stamp from a letter on paper. The data identifying the sender and recipient(s), the time and date the message was sent, and on the recipient(s) copy, the time and date it was received are equally essential elements that constitute a complete e-mail record.

Question: What about attachments to an e-mail message? Do I have to keep them as well?

Answer: Yes. If a message qualifies as part of the documentation of your activities, you need to make sure that related items that provide context for the message are maintained as well. This includes attachments. You would keep them under the same conditions that you would if they were paper documents.

Question: If my outgoing message is a record, should I ask for a return receipt to make sure that the person I sent it to received it?

Answer: It is not necessary to ask for a return receipt or read receipt in e-mail any more that it is necessary in hard copy. If it is important to document for the records the time that a message

was opened, then that receipt must be retained along with the message for as long as the message is retained. You also need to have some means of linking the receipt to the message so it is clear what outgoing message the receipt documents.

Question: How long do I need to keep e-mail records?
Answer: Retain e-mail records in accordance with the records retention schedule.

Question: Do I need to retain both the original message and the reply?
Answer: The requirement is to create and maintain understandable record documenting activities. Some reply e-mail messages contain enough information from the original message that they can stand on their own, but most do not. The simplest way to ensure understandability of e-mail messages that will become part of the record is to incorporate the original message in any reply and maintain them as a unit. If e-mail is sent back and forth and the most recent message has the entire sequence of messages, you need to keep only the final message (including the previous messages and replies) as long as it also contains attachments and other data such as the sender, receivers, date and time that are necessary for a complete record.

Question: Where do I keep e-mail records?
Answer: You should store e-mail records in a recordkeeping system. This system may be either paper or electronic.

The system must logically relate or group records in accordance with your retention schedule. Ensure the records are accessible to authorized persons throughout their life; support retention of the records for as long as required; facilitate destruction of records on schedule; and enable transfer of those records with permanent retention value to the University Archives.

Question: How do I forward electronic records to the University Archives?
Answer: Contact the University Library Archives for instruction.

Question: Do I need to retain both an electronic and hard copy for the same e-mail message?
Answer: No, if you retain the entire record in either form, and it is properly filed, you do not need to retain both electronic and hard copies.

Question: If we do not want to transfer records to the university archives, may we keep them?
Answer: Yes. Departments/offices may establish internal archives.

INSTRUCTIONS FOR COMPLETING THE RECORD SERIES INVENTORY *
THIS PROCESS IS FOLLOWED TO ADD NEW RECORDS NOT COVERED BY THE RETENTION SCHEDULE

The Records Series Inventory is how records maintained by each department/office are documented. It is also how we collect information necessary for writing new record retention schedules and revising schedules. Return completed forms to University Archives/Records Retention, Michael Schwartz Library, RT 310, extension 3529.

GETTING STARTED: It is recommended that you prepare a listing of all records maintained by your department/office. Compare your listing to the IUC Individual Record Series, which can be obtained from the records retention manager. Review the descriptions and match as many of your records as possible to the series listing. One (1) record series inventory form should be completed for each record series maintained by your department/office. Follow the numbers on the record series inventory to complete.

1. **Division/College** - The area your office/department is in, e.g., College of Science, College of Liberal Arts and Social Sciences.

2. **Office/Department** – Name of your department/office, E.g., Accounts Payable, Purchasing, Affirmative Action, etc.

3. **Contact Person** - The name of the person designated to manage records for your department/office and work with the records retention manager – record liaison.

4. **Telephone Number** - The extension number of the contact person.

5. **Records Are Located In (Bldg. /Room#)** - List the name of the building and room number the records are housed, includes records stored in other rooms/buildings other than in your area, excluding the University Archives.

6. **Name of Records Series** - List title of series. Refer to your records retention schedule.

7. **Retention Number** - The retention number as designated on your records retention schedule. In the case of a newly formed area, leave blank for assignment by the university records retention manager.

8. **Dates Of Documents In The Records Series** - List date span of records, listing month/year to month/year, e.g., from 12/98- 5/2002. It is important to list the year of the oldest record in the series maintained by your office.

*Contact the University Records Retention Manger before using this form

RECORDS SERIES INVENTORY

Instructions: Complete one form for each records series. A records series is a group of related or similar records that are normally used and filed as a unit. Complete to add new records to an existing schedule or for development of schedule for new departments/offices.

1.**DIVISION/COLLEGE**	2. **OFFICE/DEPARTMENT**
3. **CONTACT PERSON**	4. **TELEPHONE #**
5. **RECORDS ARE LOCATED IN (BLDG/ROOM #)** includes storage	6. **NAME OF RECORD SERIES(Refer to individual record series in manual)**
7. ***RETENTION GROUP NUMBER** Legal period _____ For use by university records retention manager Legal group #_____ No Legal period_____	8. **DATES OF DOCUMENTS IN THE RECORDS SERIES** From: Month Year To: Month Year
9. **DESCRIPTION OF RECORDS SERIES MEDIA** ☐ Paper ☐ Diskette ☐ Microfilm ☐ Computer Printout ☐ Magnetic Tape/Disk ☐ Microfiche ☐ Card File ☐ Other, specify_____	10. **DESCRIBE THE DOCUMENTS IN THIS RECORD SERIES:** (use back of form if necessary)
11. **SPACE OCCUPYING(Estimate)** Total filing inches or cubic feet (refer to guidelines to assessing volume of records)	12. **SIZE OF DOCUMENTS IN THIS SERIES** ☐ Letter (8.5x11) ☐ Legal (8.5x14) ☐ Both Letter & Legal ☐ Card Size _____" x _____" ☐ Computer Printout (11x15) ☐ Other, specify_____
13. **TYPE OF EQUIPMENT USED TO FILE SERIES** ☐ Vertical File Cabinet ☐ Lateral File Cabinet ☐ Shelf File ☐ Storage Carton ☐ Desk ☐ Other, specify_____	14. **DOES THIS SERIES INCLUDE SPECIAL FILES?** (Maps, photos, audio, video, etc.) ☐ No ☐ Yes Specify_____
15. **DO YOU CONSIDER YOUR OFFICE THE OFFICIAL KEEPER OF THIS SERIES?** (maintained for litigation, audit, etc., the only or most complete copy) Yes No Unsure Who has the official copy? (if known) _____	16. **RECORDS SERIES IS ARRANGED** ☐ Subjective ☐ Alphabetical by Name ☐ Alphabetical by Subject ☐ Numerical ☐ Chronological ☐ Geographic Location ☐ Other, specify_____
17. **ESTIMATE HOW FAST THIS SERIES GROWS IN A YEAR** ☐ 6 inches or less ☐ Up to one file drawer ☐ More than one drawer; how many? _____ ☐ None, Records Series is no longer used ☐ Other, specify_____	18. Y N Is record confidential? ☐ ☐ Is record historical? ☐ ☐ Is records series needed for internal/external audit? ☐ ☐ Is records series affected by any governmental regulation? (What? How Long?)_____ ☐ ☐ _____ _____ Is records series a vital record ☐ ☐ If yes, explain on reverse side how it is protected.

19. **RECOMMENDED RETENTION** (operational need, not less than legal minimum)	20. What retention period is presently used for this series? _____ Explain why? _____
21. **RECOMMENDED DISPOSITION**(Destroy/Archive)	22. **DATE REVIEWED BY UNIVERSITY RETENTION MANAGER**

Copy to University Records Retention Manger – General Counsel's Office

Use to identify new records not covered by the retention schedule

(Instructions for Records Series Inventory Continued)

9. **Description Of Records Series Media** - Indicate the type of media the records are on, e.g., paper, cd, etc.

10. **Describe the Documents in This Record Series** – Give a definition of the records and what may be included with them. This is mandatory when requesting to add a new record to a schedule.

11. **Space Occupying** - Estimate the amounts of space records are taking up in cubic feet or very small amounts in inches, refer to "Guidelines to Assessing Volume of Records" or "Guide to estimate feet occupied by magnetic media."

12. **Size Of Documents In This Series** - Check all sizes that apply to the documents.

13. **Type Of Equipment Used** - Check the type of equipment records are housed in.

14. **Does this series include special files?** Check yes or no. If yes, indicate types (audio, video tapes, maps, posters, blueprints, paintings, etc.)

15. **Do you consider your office the official keeper of this series?** - (Also known as office of records) Circle the appropriate answer. Check with chairperson or other person who may have this knowledge if you are not sure. If the answer to this question is verified by the chairperson circle "yes." May be original or copy originated by your department.

16. **Records Series Arrangement** - Check the filing method used.

17. **Estimate how fast this series grows in a year** – Check the most appropriate item.

18. **Check those that apply**: Yes or No.

    Confidential Record - disclosure of information is limited or prohibited.

    Historical Record - providing evidence for a fact of history; showing the development or evolution in proper chronological order.

    Vital Record - contains information needed to establish or continue the institution in the event of a disaster; those necessary to re-create the institutions legal and financial position, those necessary to preserve the rights of the institution, its employees and students.

(Instructions for Records Series Inventory Continued)

19. **Recommended Retention** - Based on the activity of your office make a recommendation of how long your office needs to maintain this series. Check with the department manager/chairperson to help make this determination, if necessary. You may go with the legal or recommended minimum retention period as listed in the IUC series listing. This may be higher, within reason if the activity of the office dictates it. If this section is left blank, it will be completed with the minimum periods of time by the university record retention manager.

20. **What retention period is presently being used?** - Indicate if a retention period is presently being used by the department for this series, what it is and explain why it is being used.

21. **Recommended Disposition** – This will be listed in the IUC Series listing, which may be obtained from the university records retention manager.

22. **Date Reviewed**: Date inventory sheets are reviewed by the university records retention manager.

NOTE: If you run out of room on the front of the form, reference the number of the section and continue on the back.

DESTRUCTION OF RECORDS OPTIONS

If your department has a shredder, the records can be shred internally and then recycled or an outside shredding company can be hired.

Shredding Companies

Departments may choose their own shredding companies outside the University.

NOTE:
It will have to be paid for out of the departments' budget.
Check the company out thoroughly.
Obtain a certificate of confidentiality or a statement from the company guaranteeing confidential handling of your records until they are destroyed.

FAST/Facilities

Non-confidential records can be disposed of in the general recycle bins. (See definition of confidential records).

Confidential Records may be disposed of by ordering a confidential/lockable bin from Facilities. This is done through the FAST process. Once the bin is filled, there will be a $20.00 charge for facilities to pick the bin up. **Make sure the bin is locked before pick up.** Once the bin is picked up, it will be moved to a locked area by Facilities until it is picked up by the shredding company. The department can also request that the bins be delivered right away. In this case, Facilities will deliver the bin to the company. Obtain a certificate of destruction from the company. The company used by Facilities is Gateway Products.