

A GUIDE TO RECORDS MANAGEMENT

AT

Alverno College

Alverno College Archives

Spring 2018

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A Guide to Records Management at Alverno College

1. WHAT'S RECORDS MANAGEMENT AND WHAT'S A RECORD?

1.1 MISSION STATEMENT OF THE ALVERNO COLLEGE RECORDS MANAGEMENT PROGRAM

“Records and recordkeeping are inextricably linked with any organization. It is only through the information an organization records in the normal course of business that it can know what it has done and effectively plan what it will do in the future. As a key resource in the operation of any organization, records must be created, organized, secured, maintained, and used in a way that effectively supports the activity of that organization.” (ARMA International. GARP: Generally Accepted Records Management Principles Preamble)

The mission of the Alverno College Records Management Program is to establish criteria for keeping [records](#) so that the College continues to have the necessary information to meet legal, financial, administrative, research and historical needs.

The Records Management Program accomplishes its mission by:

- Helping to create records that are necessary for the efficient and successful operation of Alverno College
- Creating no more records than are necessary
- Establishing effective filing systems
- Retaining no more records than are necessary
- Retrieving stored records when they are needed
- Operating an efficient records management program

1.2 EXPLANATION AND HISTORY

Records Management can be defined as the principles concerned with achieving economy and efficiency in the creation, use, and maintenance of records. Throughout the first one hundred years of Alverno's existence, these principles were acknowledged in de facto form on an office-by-office basis with ethics being the sole policing instrument. Although, records produced with college funds by Alverno faculty and staff for the college community had to be maintained, over-filled file cabinets were handled case-by-case. By the mid 1970's with the combination of burgeoning information and rapidly shrinking space at Alverno, conditions had to change. Rather than simply disposing of everything, Sr. Joel Read saw the need for a college archives so that an attempt could be made to preserve those records with historical and/or administrative significance.

In January 1975, Sr. Joel sent a campus-wide memo outlining the establishment of the Alverno College Archives. Sr. Joann Barras (1916-1990) was appointed Archivist and through her dedication, a strong archival foundation was laid. But the time came to more fully connect these permanent records with their roots; because of spatial demands and rapid accumulation, there was need for control of records throughout their lifecycle from creation to final destination. With the notion of making records management a reality, the original *A Guide to Records Management at Alverno College* was produced in 1988 with subsequent editions in 1992, 2000, 2007, 2011, 2016, and 2018.

1.3 RESPONSIBILITIES OF THE COLLEGE RECORDS MANAGEMENT REPRESENTATIVES (RMR'S)

An effective records management program requires the cooperation of all college departments. It is suggested that each office or department designate a records management representative (RMR) who will act as liaison with the Alverno College Archives and Records Management Program. The RMR's responsibilities could even be incorporated into their position description.

The RMR's have the following responsibilities:

- 1) Care for departmental records. This includes:
 - Supervising their arrangement in files
 - Providing reasonable access to the department's non-confidential records.
 - Maintaining control over confidential records, including access, storage and destruction.
 - Providing for the orderly storage of [semi-active](#), [inactive](#) and [temporary records](#) in adequate storage areas.
 - Ensuring proper management of electronic records, particularly email.
 - Organizing and supervising the periodic weeding of departmental files (once or twice per year.)

- 2) Serve as the department's liaison with the College Archives and Records Management Program. This includes:
 - Providing the department with up-to-date information regarding how long to keep records and what to do with them afterwards (also known as retention and disposition.)
 - Assisting the College Archivist/Records Manager in setting retention periods for unscheduled records.
 - Working with the Records Manager to decide what to do with records when programs and departments are changed, combined, or eliminated.
 - Identifying and overseeing the transfer of records of permanent value to the College Archives.

Note: If you are either a new RMR or you are an RMR who will be giving up this responsibility, please contact the Records Manager.

1.4 WHAT RECORDS MANAGEMENT CAN DO FOR YOU

Services provided by the College Records Management Program are as follows:

1.4.1 RECORDS INVENTORYING AND RETENTION

Before the College can determine how long records should be kept, the types of records created must be known. To make this determination, records inventories must be conducted periodically by the College Records Manager. It may involve physically taking an inventory of a department's records in order to get a complete listing of record types, dates, volume, distribution and possibly other information as needed.

Once the records inventory is completed, the Records Manager will analyze the inventory for administrative, legal, fiscal, research and historical value. The findings will then be reviewed with the involved department and a record retention schedule outlining what records are to be kept and for how long, will be created. The retention schedules may need revision periodically and the Records Manager is available for consultations.

1.4.2 FILING SYSTEM DESIGN

Retrieving information as efficiently as possible requires that College departments use properly designed filing systems. The Records Manager is happy to assist departments with any aspect of their filing practices. Look further in this **Guide** for file arrangement suggestions and for useful filing tips.

1.4.3 DISASTER PREVENTION/PLANNING/RECOVERY

An organization's memory resides in its records; they reveal what was done, how it was done, why it was done, when it was done and who did it. Appropriate steps must be taken to ensure that records are protected as much as possible from loss either by natural or man-made disasters. When damage is unavoidable, plans must be in place to recover records as quickly as possible. The Records Manager can provide assistance to departments in developing disaster prevention and recovery plans.

1.4.4 RECORDS MANAGEMENT TRAINING

As part of the effort to provide information on the Records Management Program at Alverno and the services offered by the department, the Records Manager is available to present on-site training sessions about any aspect of the Records Management Program. If you are in need of records guidance in your office, contact the Records Manager for a presentation or consultation.

1.4.5 THE *GUIDE TO RECORDS MANAGEMENT*

The *Guide to Records Management* is a reference tool to assist you with the maintenance of records in your office and to guide you when preparing records of permanent value for transfer to the College Archives.

This sixth edition of the *Guide* has been produced with your suggestions in mind. The retention schedules have been updated and it is hoped are technology neutral. For ease of use and preservation of trees, the whole document has been left in electronic form; sections may be printed as necessary.

So that this *Guide* can be continually improved, your feedback is welcome and greatly appreciated.

Sara Shutkin
Spring 2016

*For further assistance or to answer any questions about the content of this *Guide*, contact College Archivist and Records Manager, Sara Shutkin, at sara.shutkin@alverno.edu or at extension 6202.

A Guide to Records Management at Alverno College

2. MUCH ADO ABOUT FILING OR RECORDS MANAGEMENT IN YOUR OFFICE

2.1 AN EXPLANATION

Records have a lifecycle that begins in your office. You create [records](#) establishing their physical form and content, you use them, revise them, maintain them, file them, and occasionally reorganize them. As they age, their use declines. As records reach the end of their active lives, they are disposed of in some way: they are destroyed, reformatted, or transferred to the College Archives. Controlling records throughout their lifecycle is the basis for records management. Ultimately, you must decide what to do with these records. The long-term provisions for records will be discussed in sections 3 and 4; this second section is reserved for a discussion of suggested [filing](#) techniques for managing [active records](#) in your office.

Prior to a discussion on filing, the term "record" must be defined. "**Record**" means recorded information in any form including, but not limited to documents, reports, maps, drawings, charts, indexes, plans, memoranda, sound recordings, video recordings, microfilms, photographs, other data, information or documentary material, or any copies thereof, regardless of physical form or characteristics, storage media or condition of use. Records belong to Alverno College if they are made, produced, executed or received by any department or office of this college or by any faculty or staff member in connection with the transaction of college business or the conduct of college affairs and retained as evidence of such activity. Published material acquired and preserved solely for reference purposes, and stocks of publications, and blank forms are examples of items not included within the definition of Alverno College Records.

Records contain information. Filing is the arrangement and classification of the information contained in [active records](#) for later retrieval. Files represent accumulated knowledge. Filing makes that knowledge available to the person who needs it. The personnel who are responsible for filing records represent an important link in the chain of information handling. Alverno College operates on its files and filing system. Without properly filed records, it would be difficult or even impossible to make many of the decisions required for the College's continued effective operation.

A well-designed filing system must:

- Offer quick and easy placement or retrieval of information with a minimum of wasted time and effort.
- Assure integrity and continuity of record keeping, despite changes in office personnel. Anyone must be able to retrieve information needed.
- Allow for easy identification of [inactive records](#).
- Make the work of filing less difficult, less tedious, and more attractive.

There is no single filing scheme that is best for every office. No matter which filing system you may adopt, keep these two principles in mind. First, the simpler the filing system is to use and to teach, the better it will serve your long-term needs and the more people will use it. Second, file records in the way that best helps you to retrieve them. Put simply, the motto is: "file for retrieval."

The following filing suggestions and tips may help make filing simpler for you. This may in turn, make transmitting records from your office to the Archives easier.

2.2 PAPER RECORDS (YES, WE STILL HAVE LOTS OF THEM): A SUGGESTED FILING SYSTEM

2.2.1 SUBJECT FILING

Subject filing groups records according to subjects or categories. Subject filing is the system of choice for filing the complex types of records found in campus offices. Used along with some alphabetic principles, it is especially well suited to fast, reliable retrieval from large groups of records.

Subject files group records into broad organizational units called [records series](#). These are based on common characteristics. A typical college office file can be divided generally into seven broad groups or series according to subject. These include the following:

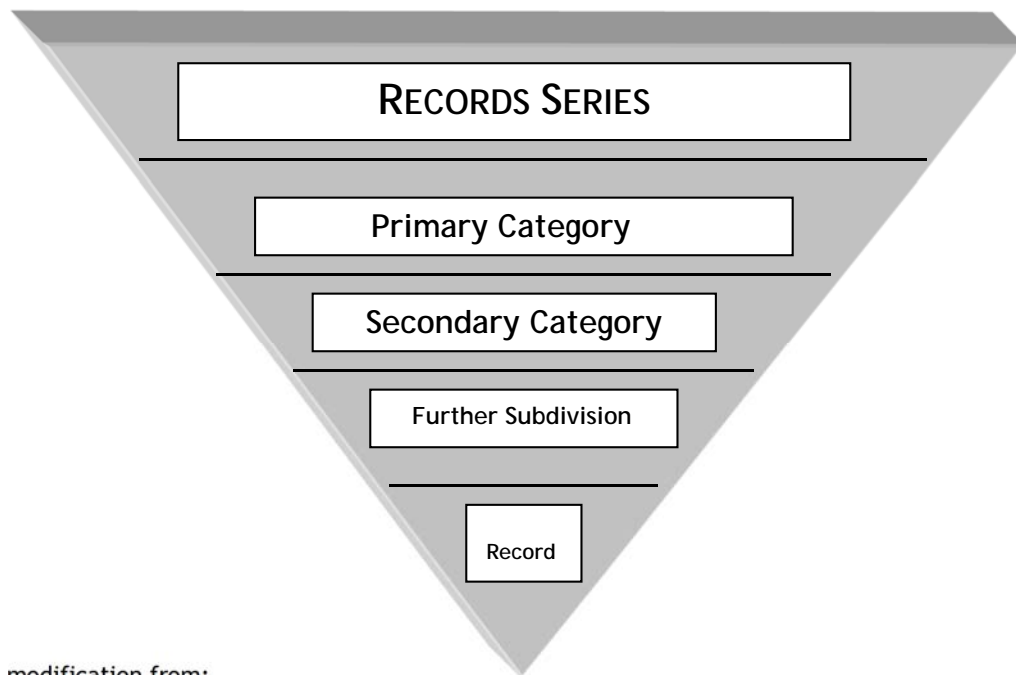
- A) Office Administrative Files
- B) Departmental, Divisional, or School Files
- C) General College-Wide Materials (including on-campus organizations, committees, groups, activities, etc.)
- D) Other Academic and/or Public Service Institutions
- E) Professional Groups, Organizations, Associations
- F) Government Agencies, Business and Industry (this includes Grant Files)
- G) Students

Your office files may include some or all of these categories.

Each of the seven records series can be subdivided into categories. Each category can itself be subdivided into subcategories. Even sub-categories can be further divided to produce more detailed refinements (**see Figure 1**).

The Multiple Levels of Subject Filing

Figure 1.



Taken with modification from:

Wayne State University Archives. *Records Management Handbook #2: A University Filing System*. Detroit. MI: Wayne State University Press. 1974.

2.2.2 AN EXAMPLE OF SUBJECT FILING

A. Series One: Office Administrative Files

1. Correspondence (General)--Include all correspondence that does not pertain to the other six series in chronological order.
2. Equipment and Supplies--Include all records, inventories, brochures and similar items relating to equipment and supplies (possibly by product name and in alphabetical order where applicable.)
3. Financial Records
 - a. Budget--Include all records relating to the formulation and disbursement of the office budget including worksheets, printouts, account books, ledgers, etc.
 - b. Purchases--Include all records, requisitions, purchase orders, and correspondence relating to expenditures for purchases.
 - c. Travel and Expense Reports--Include all records relating to expenditures for travel and other items.

2.2.2 AN EXAMPLE OF SUBJECT FILING (continued)

A. Series One: Office Administrative Files (continued)

4. Personnel--Including all records relating to personnel employed in your office (this includes student workers).
 - a. Full-time Personnel--File by name in alphabetical order.
 - b. Part-time Personnel--File by name in alphabetical order.
 - c. Former Personnel--File by name in alphabetical order.
5. Procedures and Forms--Include all office and routine procedure guides, handbooks, etc. Also include forms used for all office and routine procedures (filed alphabetically).
6. Reference Files--Include all "general subject files" used for reference purposes in your office (e.g. files containing information, articles, publications, brochures, etc.).

B. Series Two: **Your Department, Division, or School Files**

*In some ways this will be a mirror of the organization chart within which your department finds itself.

1. Department Committees--Include all minutes, agendas, notes, memos, etc. (file in alphabetical order by name of committee).
2. Department Correspondence--File in chronological order.
3. Department Course and Curriculum Records--Include all records pertaining to the planning, teaching and evaluation of courses offered by your department.
 - a. Courses Offered--Include all records, descriptions, forms, outlines, syllabi, etc. related to courses offered in your department.
 - b. Courses Proposed--Include all records, descriptions, forms, outlines, syllabi, etc. related to proposed courses in your department.
 - c. Course Evaluations--Include all feedback sheets, etc.
 - d. Curriculum--Include all related materials on the Alverno Learning Process, Assessment, Curriculum Planning, etc.
4. Department Policies and Procedures--Include all records pertaining to Department policies and procedures listed by subject of policy or procedural statement in alphabetical order.

2.2.2 AN EXAMPLE OF SUBJECT FILING (continued)

B. Series Two: **Your Department, Division, or School Files** (continued)

5. Division Committees--Include the same as above only for Division in alphabetical order by name of committee.
6. Division Correspondence--File in chronological order.
7. Division Course and Curriculum Records--Include the same as above only for Division.
8. Division Policies and Procedures--Include the same as above only for Division.
9. School Committees-- Include the same as above only for School in alphabetical order by name of committee.
10. School Correspondence-- File in chronological order.
11. School Course and Curriculum Records-- Include the same as above only for School.
12. School Policies and Procedures-- Include the same as above only for School.
13. Projects, Programs, Proposals--Include all records pertaining to special or on-going projects, programs and proposals sponsored by your department, division or school; file these by name in alphabetical order.
14. Space Needs--Include all records related to space needs, building alterations, room assignments, etc. (mainly for where classes or meetings are to be held).

C. Series Three: **General College-Wide Materials**

1. Committees--Include all records of campus-wide committees which you (or your "office") are involved with including items such as minutes, agendas, notes, memos, etc. File these by name of committee in alphabetical order.
2. Correspondence--Include all campus-wide correspondence (i.e. correspondence from other campus departments, divisions, offices other than your own). File these in chronological order.
3. Organizations--Include records pertaining to Campus Organizations filed by name in alphabetical order.
4. Other Campus Offices, Departments, Divisions, Schools --Include materials from these places that are held for reference purposes in your files (e.g. Admissions brochures, *Alverno Magazine*, etc.). File these by name in alphabetical order.

2.2.2 AN EXAMPLE OF SUBJECT FILING (continued)

- C. Series Three: **College-Wide Materials** (continued)
5. Policies and Procedures--Include records pertaining to College Policy and Procedures. File these by the subject of the policy or procedure statement in alphabetical order.
 6. Projects, Programs, Proposals--Include records related to college-wide programs, projects and proposals. File by program name in alphabetical order.
- D. Series Four: **Other Academic or Public Service Institutions**
1. Colleges and Universities--File alphabetically by name of institution.
 2. Community and Junior Colleges--File alphabetically by name of institution.
 3. Hospitals--File alphabetically by name of institution.
 4. Libraries and Museums--File alphabetically by name of institution.
 5. Schools--File alphabetically by name of institution.
- E. Series Five: **Professional Groups, Organizations, and Associations**--Include all correspondence, memos, brochures, reports, literature, and similar materials pertaining to professional or honorary societies, organizations, associations or groups. File items by organization name in alphabetical order.
- F. Series Six: **Government Agencies, Business and Industry**--Include records related to government and private business and industry, specifically: all records pertaining to federal, state and local governmental agencies, private business, corporations and similar organizations. Material types may include grant information, correspondence, brochures, literature, reports, internship site information, etc. File these records using the following sub-headings (where Applicable) alphabetically by agency, office or company name.
1. Government
 - a. Federal Government
 - b. State Government
 - c. Local Government
 2. Business and Industry
- G. Series Seven: **Student Files**--Include records pertaining to students. File these by student name in alphabetical order. Include dates of attendance on the label.

2.2.3 FILING TIPS



- Before filing a piece of paper, ask yourself, "Will I need this in the future?" **Don't** keep a piece of paper just on the chance you may need it someday.
- Don't always save every draft of a document. For most purposes, the final version is sufficient.
- Don't file multiple copies of the same document.
- The originator or the office of origin normally keeps copies of reports and correspondence. Just because a document is sent to you does not obligate you to keep it indefinitely. If you need to see it again, ask the originator for another copy.
- Don't file periodicals or newspaper clippings unless you refer to them frequently or staff in your office produced them. Use the Library.
- **Sort** records prior to filing.
- **Use staples** rather than paper clips for documents in folders.
- **Discard envelopes** if the return address is available on the document itself. Most phone messages, illegible notes, and routine acknowledgements can also be discarded.
- **Label** all files.
- **Color Coding** the different series is a useful tool, especially for re-filing folders.
- **File Dividers** could be used to highlight primary categories.



- **Date** all file folders with inclusive dates as to contents (i.e. Annual Report, 2010 or ABC Association, 2012-2014). If no date is discernable, label as follows: ABC Association, n.d. (n.d. meaning no date).
- **Create a file guide** with a description of your filing system and instructions for the user so that continuity can be maintained in your office filing system despite personnel changes.



2.2.3 FILING TIPS (continued)

- **Do not overstuff or under-stuff your file folders.** If they are overstuffed, divide them into several folders with the same name and roman numerals (i.e. Annual Report, 2009 I; Annual Report, 2009 II; etc.). Your file headings may also be too broad; being more specific may help this problem. On the other extreme, under-stuffed folders are sometimes caused by over-specialization of file headings. Find a happy medium.
- **Do not overstuff your file drawers.** This not only makes access quite difficult, but can be hazardous if not life threatening (a secretary in New Jersey lost her life a number of years ago when her over-loaded filing cabinet fell over on top of her.). You should be following a retention schedule (see Section 3) so that your files can be regularly purged. Larger record series may need a full drawer of space, but smaller ones can easily share.
- Because one sheet of paper can only be put in one place, **create cross-listings** in your files to help locate items (i.e. Toad, see Amphibians).
- **Create a file database** using your file-folder headings, cross-listings and location notes (such as drawer numbers) to make finding files quick and easy.
- If you must keep your [semi-active records](#) somewhere other than your office (i.e. attic storage, basement storage, etc.), **keep a complete inventory** handy; include retention dates (see Section 3) to keep track of when these records can be destroyed or sent to the Archives.
- If, for example, records are scheduled for destruction after three years, don't store them for five years. This is the same thinking that leads one to move leftovers to the back of the refrigerator to turn green before throwing them out.
- Set aside time **once or twice a year** to **purge files** in both your office and in any external storage areas using the **retention schedules discussed in Section 3**. Destroy records scheduled for destruction and send records scheduled for permanent storage to the Archives.
- **Spell out all acronyms** (e.g. ISC = Instructional Services Center).
- **Use "Out Guides" when removing folders for use.** This makes re-filing much easier and lets others in the office know that a file exists so another one is not created, who has the file, and when it was checked out.

OUT		
Name of File	Out To	Date

- **Do not use hanging files** if at all possible. They are expensive and space-wasteful.

2.3 MAINTAINING ELECTRONIC RECORDS

2.3.1 INTRODUCTION: ELECTRONIC RECORDS, WHAT ARE THEY?

Electronic records are records; electronic documents are just records created, communicated, or maintained in any digitized configuration by means of electronic equipment. The most common types of document-based electronic records are word processing files, spreadsheets, databases, images, presentation files, and e-mail messages. They are subject to the same requirements regarding access, personal privacy protection, audits, authenticity, retention and disposition (discussed in Section 3) as paper documents and other record material (e.g. microforms, videotapes, etc.). Like paper files, electronic records (including e-mail) **are not the personal property of the staff who create them. They are a resource that supports the mission and operations of your department and ultimately, Alverno College.**

2.3.2 ELECTRONIC RECORDS ACCESSIBILITY

Records can be created and stored using many different media and formats, including paper-based files or computer systems, on a single medium or as multimedia. Records can also be transferred from one medium to another (such as from a hard drive to a CD or DVD) and from one context to another through copying, imaging or digital transfer. Records present special problems when they are in electronic form. They are easily updated, deleted, altered and manipulated. If appropriate measures are not taken, the essential characteristics of these records -- content, structure, context can be altered or lost in the process. Careful planning is required to ensure that these characteristics of electronic records are both captured and maintained.

Further, departments must safeguard all records against deliberate tampering, storage media deterioration, and rapid technology changes that can leave electronic records inaccessible over a period of time because of hardware or software obsolescence. To eliminate the possibility of creating a situation where information can no longer be retrieved, departments must make the following provisions to ensure future accessibility:

- Migrate or move all electronic records when there are major upgrades to the next generation of hardware or software; or
- Migrate or move only current electronic records to new hardware or software and convert any records not migrated to a "human readable form" such as printing them out on paper or converting them to micro format.

All College electronic records that are considered vital records, archival records, or other information requiring long-term retention must be retained in a manner that will insure availability for as long as needed in future years. Contact the college archivist for details.

2.3.3 FILING AND MANAGING ELECTRONIC RECORDS

Official college records could be lost when they are deleted unintentionally, saved under unintelligible file names, or stored in an unsafe environment without adequate back-up protection. The following tips may help safeguard your records making them easier to locate in the process.

- Try to avoid storing many files on your computer's hard drive. Instead utilize shared drive spaces for records that must be retained. The shared drive servers are backed up on a regular basis, your hard drive probably isn't.
- Use the same filing structure for the electronic files you store on your hard drive, in your shared drive space, and on external storage media such as CD's or DVD's as you use for your paper files.
- For consistency, use a file naming convention such as the following which is beginning to be adopted on campus with the advent of the new college intranet. It makes searching for files much easier. Here is an example: **library_meeting_minutes_2018_05_10.pdf**. Note that there is no capitalization and underlines are used in place of spaces.
- Because electronic documents are easy to edit, users tend to create many drafts of a memo or report. Weed through these drafts and keep only as many as necessary. Label them clearly perhaps using numbering (e.g. memo1, memo2, etc.) with the final copy marked as such.
- When storing records on CD's, DVD's, tapes or other storage media, store logically related records with like retention periods together.
- If you have to keep records in your computer's hard drive, back them up regularly and try to store these backups at an off-site location. Keep two or three generations of backups.
- Regularly run and keep up-to-date virus-scanning programs on your hard drive and **ALWAYS** scan external storage media and e-mail attachments for viruses before uploading the information to your hard drive.

2.3.4 RETENTION OF ELECTRONIC RECORDS

Electronic records serve the same functions as paper records. As such, their retention and orderly disposal is also an important issue. They must be evaluated and a decision must be made whether they should be permanently retained and in what format. This is outlined in the [records retention and disposition schedules](#) found in Section 3.

2.3.5 EMAIL RECORDS

Email messages that fit the definition of a [college record](#) (any record made, produced, executed or received by any department or office of this college or by any faculty or staff member in connection with the transaction of college business or the conduct of college affairs and retained as evidence of such activity) are to be retained and disposed of according to the retention schedule. (See Section 3.)

2.3.6 ELECTRONIC RECORDS BACKUP

To insure the College always has available the necessary electronic records to meet its academic and administrative requirements and to protect these records from accidental or deliberate loss, they must be backed up at appropriate time periods and in an appropriate manner.

Electronic records should be backed up on a regular basis. If frequent changes or additions are made to these records, backups should be made more frequently. The following guideline should be used: **THE MORE ACTIVITY, THE MORE FREQUENT THE BACKUP!** Electronic records that are seldom changed or updated need to be backed up only as major changes to the information occurs.

Different backup media (tapes, cassettes, CD's, DVD's, etc.) retain information for different periods of time before deterioration of the information may begin. The longer the backup media will be retained without replacement of information, the more stable the backup media needs to be.

The easiest thing to do is to store important records in your shared server spaces. Technology Services regularly backs up these servers saving you from having to do so.

For further information or for a records management consultation, contact the archivist Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202.

2.4 WHAT TO DO WITH SEMI-ACTIVE RECORDS

Within the records "lifecycle", [semi-active records](#) are those records referred to only once or twice a year. Their [retention dates](#) have not passed; they can't be destroyed or sent to the Archives for permanent storage yet. They are also taking up valuable space in your file cabinets or on your hard drive.

For paper records, rather than buying a new file cabinet--an expensive initial purchase with a high upkeep cost (for overhead and maintenance upwards of \$1300/year); use banker's boxes (dimensions 10"x12"x15"). Fill them with records according to retention date, or with like or similar format (all meeting minutes, all correspondence, all curriculum planning, etc.) or subject content. Make sure that these boxes are well labeled (this process is described in Section 4.) and inventoried with a copy of the inventory filed in your office and/or as a filing database. Store these boxes where you safely can--in your office, in remote storage locations, etc.



Figure 2. Banker's Boxes measure 10" h x 12" w x 15" d

Do not store electronic records on your computer's hard drive for any length of time. Instead, store these records in your shared server spaces. Technology Services regularly backs up these servers saving you from having to do so. If you must use external storage media such as CD's, DVD's or tapes, these should be well labeled with titles, and descriptions of content including what software and hardware was used in their creation (e.g. MSWord/PC, MSWord/Macintosh, etc.). Also include creation dates, transfer dates, and retention dates. Their content should be included in your office records inventory or filing database. Finally, the CD's, DVD's or tapes should be stored in proper casing to protect them from damage; they are very fragile.

It is important to maintain control over your records and protect them from the danger of physical damage in the storage area--elements such as high heat, moisture, dirt, or vermin-infestation are all problematic. And in the case of magnetic media, if they are stored too close to where there is a strong electromagnetic field (e.g. from electronic appliances or a magnet), there is the danger of losing information through unintentional erasure.

A Guide to Records Management at Alverno College

3. HOW LONG DO RECORDS NEED TO BE KEPT AND THEN WHAT HAPPENS TO THEM?

3.1 AN EXPLANATION

Regular retirement and annual weeding of inactive records from active files is essential to reduce record bulk and to ensure easy access to active records. A [records retention and disposition schedule](#) is the fundamental tool used to move old and obsolete records out of an office in order to make room for more recent and useful records. “Retention” means how long a record is kept and “disposition” is what happens to the record afterwards.

A records retention schedule identifies records and prescribes the time period that they must be kept before they are either sent to the Archives or destroyed. How long a record is kept is shown in the schedule; it may range from immediate destruction or destruction after a certain time period to permanent retention in the College Archives or some other location.

The retention periods established for College records are based on their [legal](#), [administrative](#), [evidential](#), [fiscal](#), [research](#) and [historical value](#). “Just in case” or “We might need that” are not legitimate criteria for keeping records past their established retention time. Likewise, the type of media a record is created or retained on has no bearing on retention time requirements since retention periods on the following schedules are **media neutral**. However, records having long retention periods must either be retained on a media that has a long life span (e.g. paper, microfilm, CD, DVD, or on a server) or a [migration plan](#) (to a more stable media) must be in place to ensure availability of the records for as long as they are needed.

The following [records retention and disposition schedule](#) specifies how long records should be kept in your office prior to destruction or transfer to the College Archives. It is divided into two parts: the first part is a schedule for records common to most campus offices; the second part is a schedule for records specific to various offices or for records handled in a special way in various offices.

3.2 DETERMINING THE RETENTION PERIOD AND FINAL DISPOSITION FOR A RECORD

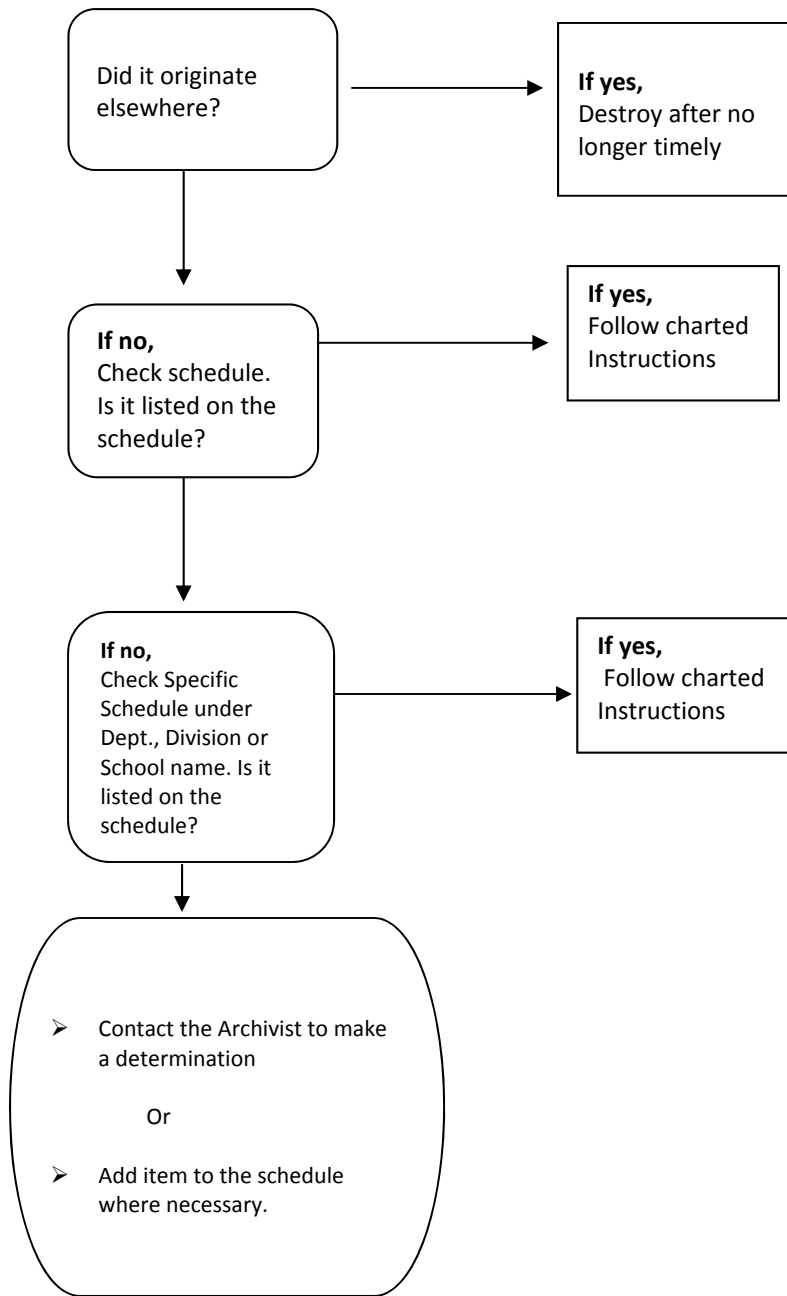
To determine the [retention period](#) and final [disposition](#) for a record follow these steps:

- 1) Determine whether it is an original record from your office or if it originated elsewhere.
- 2) If it originated elsewhere on campus, it can be destroyed after it is no longer timely or useful for you. If you have any doubts or any questions, please contact the Archives (extension 6202).
- 3) If it is an original from your office, check the "General Schedule" under the appropriate "record type" (i.e. Correspondence).
- 4) If the "record type" you are looking for is not in the "General Schedule", check the "Specific Schedule" under your department, division, school, or office name. This could be a "record type" not commonly found in other offices or the item may be handled in a special way in your office.
- 5) If a retention period and final disposition still have not been determined, contact the Archives (extension 6202) and we will either create them (to be added to the "special Schedule" in the additional space provided) or clear up any confusion. Perhaps, this was a new "record type" not encountered previously or a "record type" now handled differently in your office.

(see Figure 3)

In general, records should be saved and sent to the Archives if they have originated in your office and significantly reflect the functions, policies (past, present and future), or historical development of your office. Otherwise, they should be destroyed after the designated retention period.

Figure 3. Determining Retention Period and Final Disposition for a Specific Record Type.



If you have further questions, contact the archivist
Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202.

3.3 RECORDS RETENTION AND DISPOSITION SCHEDULE

These Records Retention and Disposition Schedules reflect a minimum standard. If your office, department, division or school has a need to hold onto some records for a longer time period, feel free to do so. If a radical change is necessary, please contact the Archives so that we can modify the schedules accordingly to better meet your needs.

3.3.1 GENERAL SCHEDULE

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
1) Accreditation Records	Keep until Superseded	Destroy if not office of origin* If office of origin, send to Archives	*Office where records were originally created or accumulated (e.g. accreditation reviews for the National Association for Schools of Music would be in the Music Department).
2) Annual Reports	Keep for 10 years	Send to Archives	
3) Assessment Instruments	Keep until Superseded	Destroy if not office of origin* If office of origin, send to Archives	*See number 1 above.
4) Associations and Organizations* a) External b) Internal	a) Keep as timely. b) Keep for 5 years	a) Destroy when no longer needed b) Send to Archives	*These materials include minutes, agendas, working and supporting papers, and related correspondence.

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
5) Audit Reports	Keep for 10 Years	Send to Archives	
6) Budget Records/ Ledgers a) Business Office Copy b) Other Copies	a) Keep for 10 Years b) Keep for 3 Years	a) Send to Archives b) Destroy when no longer needed	a) Make security copy on microfilm or other stable media.
7) Committee Materials * a) Chairperson's Copies b) Other Copies	a) Keep for 5 Years b) Keep as timely	a) Send to Archives b) Destroy when no longer needed	*These materials include minutes, agendas, correspondence, working and supporting papers.
8) Community Day Materials (formerly Seminar Day) a) Sponsoring Office b) Non-sponsoring Office	a) Keep for 5 Years b) Keep as timely	a) Send to Archives b) Destroy	

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
9) Contracts or Agreements	Keep for 6 Years after close of contract or fulfillment/ supersession of terms	Destroy Confidentially*	<p>This may also include any correspondence clarifying or setting terms in the contract itself.</p> <p>*See definition for "Destroy Confidentially" in Glossary (Appendix D).</p>
10) Correspondence (this includes email) a) Routine* b) Non-Routine#	a) Keep for 2 Years b) Keep for 5 Years	a) Destroy b) Send to Archives**	<p>*See definition for "Routine Items" in Glossary (Appendix D).</p> <p>#Includes all materials which give insight into departmental functioning and policies.</p> <p>**Check Section Four of this manual for special instructions for email.</p>
11) Curriculum Development Materials *	Keep as timely	Send to Archives#	<p>*Including course proposals.</p> <p>#If office of origin only.</p>

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
12) Departmental, Divisional, and School Project Work Papers*	Keep 5 Years or until no longer timely	Send to Archives	*Includes the project "case file," proposals, research record, related correspondence, meeting materials, etc.
13) Employee Hiring Paperwork (including Employment Applications)	Keep until Position is filled	Transfer to Human Resources Office and Keep Permanently there.*	*All personnel information is kept in the official personnel file in the Human Resources Office.
14) Employee Personal Information	Keep until Termination	Transfer to Human Resources Office and Keep Permanently there.*	*All personnel information is kept in the official personnel file in the Human Resources Office.
15) Faculty Evaluation / Feedback Sheets*	Keep for 10 Years after Termination Date	Destroy Confidentially**	*Includes student course and instructor evaluations. **See definition for "Destroy Confidentially" in Glossary (Appendix D).
16) Forms	Keep until Superseded	Destroy	
17) Gift and Contribution Records*	Keep until no longer needed for administrative purposes.	Send to Archives	*Includes records related to the receipt, disbursement, and investment and contributions for all purposes.

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
18) Goal Statements	Keep for 5 Years	Send to Archives	
19) Grant Records	Keep for 5 Years after termination or completion	Send to Archives	
20) Handbooks	Keep until Superseded	If office of origin* send to Archives. If not, Destroy.	*See number 1 above for definition.
21) Institute Materials a) Office of Origin* b) Non- originating Office	a) Keep for 5 Years b) Keep as timely	a) Send to Archives b) Destroy	*See number 1 above for definition.
22) Instructional Materials	Keep as timely	Judge on an item by item basis; contact the Archives.	
23) Meeting Minutes and Agendas a) Office of Origin* b) Non- originating Office	a) Keep for 5 Years b) Keep as timely	a) Send to Archives b) Destroy	*See number 1 above for definition.

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
24) Office Procedures Records *	Keep as timely	Destroy	*Includes routine procedures like phone use, memos, forms use, etc.
25) Payroll Records (copies of timesheets, exception reports, etc.)	Keep for 3 Years	Destroy	
26) Printed Materials * a) Office of Origin# b) Non-Originating Office	a) Keep 5 Years or as Timely b) Keep as timely	a) Send one copy only to Archives b) Destroy	Includes pamphlets, brochures, calendars, flyers (of consequence), posters, etc. #See number 1 above for definition.
28) Publications * a) External (non-Alverno) b) Internal 1) Office of Origin# 2) Non-Originating Office	a) Keep as timely b) 1) Keep for 5 Years or as timely 2) Keep as timely	a) Destroy b) 1) Send one copy only to Archives 2) Destroy	*Includes newsletters, newspapers, magazines, handbooks, course schedules, catalogs, etc.
29) Purchase Orders, Requisition Slips, Invoices *	Keep for 2 Years unless large capital item, then keep for duration of ownership	Destroy	*Non-Purchasing Office copies including book orders.

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
30) Receipts *	Keep for 1 Year unless large capital expense, then keep for duration of ownership, contract, etc.	Destroy	*Non-Business Office copies.
31) Reference Files *	Keep as timely	Destroy	*Includes files kept for reference purposes. They may include campus information stored in office for ease of access.
33) Student Records *			*See "Special Schedules" under your department, division, or school name.
34) Special Events Files *	Keep as timely or administratively necessary	Send to Archives	*These are special events sponsored by your office and include one copy of all handouts, background materials, flyers, posters, related correspondence, etc.

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
35) Syllabi	Keep for 2 Years or as timely (those found in individual offices)	Destroy*	*Digital syllabi will be converted to PDF format by Professional Support Staff Services. At the end of the semester for which they were used, they will be uploaded to the Syllabus Archive for permanent retention.
36) Workshop and Program Materials* a) Office of Origin# b) Non-originating Office	a) Keep for 5 Years or as timely b) Keep as timely	a) Send to Archives b) Destroy	*Includes one copy of all handouts, background materials, flyers, related correspondence, posters, etc. for Department or Division sponsored workshops and programs. #See number 1 above for definition.

ADDITIONS AND CHANGES PAGE

RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS

3.3.2 SPECIAL SCHEDULE

Note: Departments not listed here have not submitted specialized records to be scheduled.

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Academic Affairs	1) Academic Department and Division Records	Keep for 5 Years or as timely	Send to Archives	
Academic Affairs	2) Committee Materials*	Keep for 5 Years or as timely	Send to Archives	*This may be the only "permanent" source of records of campus-wide committees whose membership and leadership are constantly changing.
Academic Affairs	3) Faculty Institute Materials*	Keep for 5 Years or as timely	Send to Archives	*Includes paper documents, videotapes, and audiotapes.
Academic Affairs	4) Faculty Personnel Records	Keep for 5 Years after Termination Date	Send to Archives	
Academic Affairs	5) Student Permits	Keep for 5 Years	Destroy	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Admissions	1) SAT and ACT Score Records*	Keep for 5 Years	Destroy #Confidentially	<p>*These are records of cancelled students and those who have not yet applied or have not yet met skills requirements.</p> <p>#See definition for "Destroy Confidentially" in Glossary (Appendix D).</p>
Admissions	2) Student Records (Cancelled)*	Keep for 3 Years	#Destroy Confidentially	<p>*These are records of students who are admitted and don't come.</p> <p>#See definition for "Destroy Confidentially" in Glossary (Appendix D).</p>
Admissions	3) Student Transcripts*	Student Transcripts*	Student Transcripts*	*These are transcripts of students who have not yet applied.
Advising	Student Records	Keep for 5 Years after Graduation or Withdrawal or Leave Date	Send to Archives, Microfilm after 20 Years	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Alumnae Relations	Alumnae Association Scrapbooks	Keep as timely	Send to Archives	
Arts Division	Student Records from Art and Music Departments	Keep Permanently		
Assessment Center	1) Historical Binders	*Keep as timely	Send to Archives	*Mainly Assessment Instruments from the beginning of the Center.
Assessment Center	2) Student Records	Keep for 5 Years after Graduation or Withdrawal or Leave Date*	#Destroy Confidentially	*A discussion on creating a small sample of these records is necessary. #See definition for "Destroy Confidentially" in Glossary (Appendix D).
Assessment Center	3) Student Videotapes	Keep for 5 Years after Graduation or Withdrawal or Leave Date*	#Destroy Confidentially	*A discussion on creating a small sample of these records is necessary. #See definition for "Destroy Confidentially" in Glossary (Appendix D).
Athletic Department	1) Game Statistics	Keep for 5 Years	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Athletic Department	2) Season Statistics	Keep for 5 Years	Send to Archives	
Athletic Department	3) Rosters—by Sport	Keep for 5 Years	Send to Archives	
Athletic Department	4) Rosters—by Season	Keep for 5 Years	Send to Archives	
Athletic Department	5) Rosters—Overall	Keep for 5 Years	Send to Archives	
Athletic Department	6) Awards Banquet Materials	Keep for 5 Years	Send to Archives	
Athletic Department	7) NCAA Paperwork	Keep for 5 Years or by NCAA Rules	Send to Archives	
Athletic Department	8) Scorebooks	Keep for 5 Years or by NCAA Rules	Send to Archives	
Athletic Department	9) Media Guides	Keep for 5 Years	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Athletic Department	10) Pocket Schedules	Keep for 5 Years	Send to Archives	
Athletic Department	11) Fast Facts	Keep for 5 Years	Send to Archives	
Athletic Department	12) Season Reviews	Keep for 5 Years	Send to Archives	
Athletic Department	13) Banquet Videos	Keep for 5 Years	Send to Archives	
Athletic Department	14) Basketball Videos	Keep for 5 Years or as Timely	Send Selective Random Sample to Archives	
Athletic Department	15) Photographs and Photonegatives*	Keep for 5 Years or as Timely	Send to Archives	*JPEGs and Other Electronic Formats Should be Sent on CD.

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Athletic Department	16) Student Athlete Health Records	Keep for 5 Years after Graduation, Withdrawal or Leave Date or per NCAA Rules	Destroy Confidentially*	*These Records fall under HIPAA Guidelines. See definition for "Destroy Confidentially" in Glossary (Appendix D). **The files of injured athletes or those involved in some other action (legal or otherwise) may have to be Retained Permanently.
Behavioral Sciences Division	Student Records	Keep for 10 years after Graduation, Withdrawal or Leave Date	*Destroy Confidentially except feedback	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Business Office	1) Accounts Payable	Keep for 3 Years	Destroy	
Business Office	2) Checks and Check Stubs	Keep for 3 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Business Office	3) Contracts	Keep for 10 Years	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Business Office	4) Daily Cash Receipts	Keep for 3 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Business Office	5) Gifts and Contributions*	Keep until no longer needed for Administrative Purposes	Send to Archives	*Includes records related to the receipt, disbursement and investment of gifts.
Business Office	6) Investment Records	Keep for 10 Years	Send to Archives	
Business Office	7) Procedural Manuals	Keep until Superseded	Send one copy to Archives	
Business Office	8) Statistics and Related Analysis*	Keep for 5 Years or until no longer needed for Administrative Purposes	*Send to Archives	*Only one copy of each needs to be saved permanently.
Business Office	9) Student Billings	Keep for 10 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Business Office	10) Tax Records	Keep for 10 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Career Education Center	1) Departmental Records: Dean's Report	Keep for 5 Years	Send to Archives	
Career Education Center	2) Departmental Records: Goal Statements	Keep for 5 Years	Send to Archives	
Career Education Center	3) Departmental Records: Grad Reports	Keep for 5 Years	Send to Archives	
Career Education Center	4) Departmental Records: Meeting Minutes	Keep for 5 Years	Send to Archives	
Career Education Center	5) Graduate Surveys (Original Replies)	Keep 1 Year after Graduation Date	*Destroy Confidentially	Save Raw Data Electronically *See definition for "Destroy Confidentially" in Glossary (Appendix D).
Career Education Center	6) Graduate Surveys: Summary Reports Including Comments	Keep as Needed	Send to Archives	
Career Education Center	7) Purchase orders	Keep 2 years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Career Education Center	8) Receipts	Keep 1 Year	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Career Education Center	9) Student Career Files: Alumnae	Keep 2 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Career Education Center	10) Student Career Files: SOL (students on leave)	Keep with Active Student Files	*Destroy Confidentially if They Become OW	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Career Education Center	11) Student Career Files: OW (official withdrawal)	Do Not Keep	*Destroy Confidentially Upon Notification by Registrar's Office	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Career Education Center	12) Student Career Tests	Keep for 2 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Educational Research & Evaluation (ERE)	Written Transcripts (for Longitudinal Study)	Keep for duration of the study. Microfilm (possibly) for space saving.	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Facilities	1) Rental Records	Keep for 10 Years	Destroy	
Facilities	2) Special Events and Project Records*	Keep as Timely	*Send Non-Routine Items only to Archives	Routine items can be disposed of. *See definition of "Routine Items" in Glossary.
Financial Aid	Student Aid Recipient File Cards*	Keep for 5 Years after Graduation, Withdrawal or Leave Date	Send to Archives	*Integrate with Student Advising File #Most of this information is now found online.
Human Resources	1) Awards Dinner Materials	Keep for 5 Years	*Send Non-Routine Items only to Archives	*See definition of "Routine Items" in Glossary.
Human Resources	2) Paychecks and Check Stubs	Keep for 3 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Human Resources	3) Personnel Files	Keep Permanently		
Human Resources	4) Statistics and Related Analysis*	Keep for 5 Years or until no longer needed for Administrative Purposes.	Send to Archives*	*Only one copy of each needs to be saved permanently.

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Human Resources	5) Tax Records	Keep for 10 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Human Resources	6) Union Contract	Keep for 5 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Human Resources	7) W2 Form	Keep for 5 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Humanities Division	Student Records	Keep for 5 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Information Services	1) Calendars	Keep for 5 Years or as Timely	Send only one copy of each to Archives	
Information Services	2) Campus Maps	Keep as Timely or until Superseded	Send only one copy of each to Archives	
Information Services	3) Information Services Operation Files*	Keep for 5 Years or as Timely	Send Non-Routine Items only to Archives#	*Includes switchboard materials, Clare Desk, etc. #See "Routine Items" in Glossary.

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Instructional Services: Course Records	1) Course Records: Attendance Record, Final Class List (Progress Code/ Validations)	Keep for 10 Years after Completion*	Send to Archives	*Keep records in Central Office or with Area Coordinator
Instructional Services: Course Records	2) Course Related Materials: Instructional, Assessment, Curriculum Development	Keep Permanently with Area Coordinator		
Instructional Services: Course Records	3) Student Records: ILP/ Cumulative Reading Records, Cumulative Writing Record	Keep 10 Years After Course Completion*	Send to Archives	Keep Records with Area Coordinator not With Teachers
Instructional Services: Course Records	Student Records: MT (Mathematics) Continuing Student Form	Keep for 3 Years or After Course Completion	Destroy	
Instructional Services: Course Records	Student Records: ENG (English) Final Assessments	Keep 10 Years After Course Completion with ESL Coordinator	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Instructional Services: Disability Support Services	1) Student Files: Disability Documentation; Student Releases of Information; List of Strategies Recommended; Accommodations Request letters; List of Services Provided (database); Referral Forms, One-on-One Evaluation Forms; Staffing Information; Taped Books Applications; PPST Applications; *Communications with Advisors, Faculty, etc.; *Records/Notes of Contact (database or handwritten)	Keep in Office of Coordinator for 5 Years After Graduation or Withdrawal	Send to Archives	*Notes are Sorted and Discarded as Appropriate
Instructional Services: Disability Support Services	2) Coordinator's Records: Student Database— Information Created by Semester (personal data, disability information, accommodations)	Keep for 10 Years After Graduation with Coordinator	Send hard Copies and Final Reports to Archives	
Instructional Services: Disability Support Services	3) Coordinator's Records: Semester and Year End Reports/Student Lists	Keep for 10 Years with Coordinator	Send hard Copies to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Instructional Services: Disability Support Services	4) Coordinator's Records: Applicant Inquiry Information by Semester	Keep for 10 Years with Coordinator	Destroy	
Instructional Services: Disability Support Services	5) Coordinator's Records: Internal Student Referral Information (Contact Log and Paper Log)	Keep for 10 Years with Coordinator	Destroy	
Instructional Services: ESL (English as a Second Language) Program	1) Admission Evaluation: Referral/ Recommendation for ESL needs	Keep for 5 Years with ESL Coordinator	Destroy	
Instructional Services: ESL (English as a Second Language) Program	2) Student Records: Bilingual Inventory, CELT Results	Keep for 5 Years with ESL Coordinator	Destroy	
Instructional Services: ESL (English as a Second Language) Program	3) Tutor: Conversation Tutor Report Forms	Keep with ESL Coordinator for 5 Years After Graduation	Destroy	
Instructional Services: General Records	1) Annual Reports	Keep Permanently in Central Office		
Instructional Services: General Records	2) Budget Reports	Keep 10 Years in Central Office	Destroy	
Instructional Services: General Records	3) Purchase Orders, Requisitions, etc.	Keep 5 Years in Central Office	Destroy	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Instructional Services: General Records	4) Department & Committee Meeting (Chair's Copies) Materials: Agendas, Minutes, Documents	Keep in the Chair's File for 5 Years	Send to Archives	
Instructional Services: General Records	5) Project Work Papers	Keep with Initiator for 5 Years	Send to Archives	
Instructional Services: General Records	6) Personnel Records: Hiring Forms, Resumes, Salary/Change Forms	Keep in Central office for 10 Years after Termination	Send to Human Resources Office	
Instructional Services: General Records	7) Goal Statements	Keep Permanently in Central Office		
Instructional Services: General Records	8) Handbook	Keep 5 Years in Central Office	Destroy	
Instructional Services: General Records	9) Workshop & Program Material: Final Schedules, Agenda, Handouts	Keep Permanently with Coordinator		
Instructional Services: General Records	10) Consensus Meetings Information	Keep 10 Years with Assistant Director	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Instructional Services: One-on-One Instruction	Tutee Records: Referral, Contracts, Session Forms, Final Report Forms, Staffing Information	Keep for 5 Years after Graduation with SSC (Support Services Coordinator)	Destroy All Except Final Report Forms which go to Archives*	*Vital Information Stored on Database (historical database goes back to 90-91 academic year)
Instructional Services: Peer Tutoring	1) Human Resources Forms: Hiring forms	Keep for the Current Academic Year	Destroy	
Instructional Services: Peer Tutoring	2) Human Resources Forms: Time Sheets	Keep for One Month after Start of New Semester with SSC (Support Services Coordinator)	Destroy	
Instructional Services: Peer Tutoring	3) Peer Tutor Information: Self Evaluations, Tutee Evaluations, course Instructor Evaluations	Keep with SSC for 5 Years after Graduation	Send to Archives	
Instructional Services: Peer Tutoring	4) Tutee Records: Referral, contracts, Session Forms, Final Report Forms	Keep with SSC for 5 Years after Graduation	Destroy	Vital Information Stored on Database (Client database dates back to 90-91 academic year)

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Instructional Services: Peer Tutoring	5) Recruitment Materials: Applications, Recommendations	Keep with SSC for One Academic Year	Destroy	Vital Information Stored on Database (Employee database dates back to 94-95 academic year)
Instructional Services: Resource Centers (Math & Writing)	1) Human Resource Forms: Hiring Forms	Keep with Resource Center Coordinator for the Current Academic Year	Destroy	
Instructional Services: Resource Centers (Math & Writing)	2) Human Resource Forms: Time Sheets	Keep with Resource Center Coordinator for one Month after Start of new Semester	Destroy	
Instructional Services: Resource Centers (Math & Writing)	3) Assistant information: Self Evaluations, Coordinator Evaluations	Keep for 5 Years after Graduation with Resource Center Coordinator	Send to Archives (Destroy only MRC & WC Self Evaluations)	
Instructional Services: Resource Centers (Math & Writing)	4) Resource Centers Daily Operations: Session Forms, Attendance Sheets	Keep for 3 Years with Resource Center Coordinator	Destroy	Vital Information Stored on Database (Client database dates back to 94-95 academic year)

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Instructional Services: Resource Centers (Math & Writing)	5) Recruitment Materials: Applications, Recommendation	Keep for One Academic Year with Resource Center Coordinator	Destroy	Vital Information Stored on Database (Employee database dates from 94-95 academic year)
Instructional Services: Study Groups	1) Human Resources Forms: Hiring Forms	Keep with SSC (Support Services Coordinator) for the Current Academic Year	Destroy	
Instructional Services: Study Groups	2) Human Resource Forms: Time Sheets	Keep with SSC (Support Services Coordinator) for 5 Years after Graduation	Destroy	
Instructional Services: Study Groups	3) Study Group Monitor Information: Self Evaluations, ISC Staff Evaluations, Study Group Participant Evaluations	Keep with SSC (Support Services Coordinator) for 5 Years after Graduation	Send to Archives	Vital Information Stored on Database (employee database dates back to 94-95 academic year)
Instructional Services: Study Groups	4) Study Group Records: Contracts, Session Forms, Attendance Forms, Course Instructor Evaluations	Keep with SSC (Support Services Coordinator) for 5 Years after Semester Completion	Destroy except for Contracts which go to Archives after 2 Years	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Instructional Services: Study Groups	5) Recruitment Materials: Applications, Recommendation	Keep with SSC (Support Services Coordinator) for One Academic Year	Destroy	Vital Information Stored on Database (employee database dates back to 94-95 academic year)
International & Intercultural Center	1) International Student Records (F-1 & M-1 visas)	Keep for 3 Years after last semester of enrollment or year of post-study "practical training"	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
International & Intercultural Center	2) International Student Records* (J-1 visas)	Keep for 3 Years after last semester of enrollment	#Destroy Confidentially	*These are records for "visiting" students who stay 15 months or less #See definition for "Destroy Confidentially" in Glossary (Appendix D).
Internship Office	Student Evaluation Record Books	Keep for 5 Years after Graduation, Withdrawal or Leave Date	Send to Archives; Microfilm after 5 Years as necessary	
Library	1) Acquisition Files	Keep for 2 Years	Destroy	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Library	2) Annual Reports	Keep for 4 Years	Send to Archives	
Library	3) Bibliographies	Keep as Timely or Until Superseded	Destroy	
Library	4) Budget Materials	Keep for 10 Years*	Send to Archives	*This is needed for accreditation purposes.
Library	5) De-selection Records	Keep for 7 Years	Destroy	
Library	6) Donation Records	Keep until no longer needed for administrative purposes	Send to Archives	
Library	7) Instructional Materials	Keep as Timely or Until Superseded	Destroy	
Library	8) Inventories	Keep Until Superseded	Destroy	
Library	9) Library Policy Manuals	Keep Until Superseded	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Library	10) Project Files	Send to Archives only if significantly effects campus*	*Destroy if criteria are not met.	
Library	11) Renovation Records a) Actual b) Unused Proposals	a) Keep for 10 Years b) Keep for 10 Years	a) Send to Archives b) Destroy	
Library	12) Statistics	Keep as needed for Annual Reports, Accreditation Reports, etc.	If enlightening, Send to Archives otherwise, Destroy	
Marketing Communications	1) Alverno Annual Reports	Keep as Timely	Send Copy as Produced to Archives	
Marketing Communications	2) Clippings*	Keep for 5 Years or as Timely	Send to Archives	*Send photocopies instead of originals whenever possible.
Marketing Communications	3) Fact Cards*	Keep as Timely	Send to Archives	*Alverno Facts
Marketing Communications	4) Press Releases /News Releases	Keep for 5 Years or as Timely	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Marketing Communications	5) Photographic Materials	*Keep as Timely	Send to Archives	*Include as much information as to identity of image as possible.
Marketing Communications	6) Special Materials*	Keep as Timely	Send one of each only to Archives	*Includes article reprints, bumper stickers, etc.
Media Hub	1) Photographic Slides	Keep as Timely	Send to Archives	
Media Hub	2) Videotapes*	Keep as Timely	Send to Archives	*Recorded In-house Activities Only.
Natural Sciences, Mathematics and Technology Division	Student Records	Keep for 10 Years after Graduation, Withdrawal or Leave Date	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Plant Operations	Building Blueprints	Keep as Timely	Send to Archives	
President's Office	1) Articles of Incorporation	Keep until no longer needed for Administrative Purposes	Send to Archives	
President's Office	2) Board of Trustee Records	Keep as Timely	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
President's Office	3) Lobbying and Fund-raising Materials	Keep until no longer needed for Administrative Purposes	Send Non-Routine items only to Archives*	*See definition for "Routine Items" in glossary.
President's Office	4) National council Records	Keep as Timely	Send to Archives	
Residence Life	1) Hall Newsletters	Keep for 5 Years or as timely	Send to Archives*	
Residence Life	2) Handbooks	Keep until Superseded	Send to Archives	
Residence Life	3) Photographs and Slides	Keep as Timely	Send to Archives	
Residence Life	4) Resident Assistants' Materials	Keep as Timely	Send Non-Routine Items only to Archives*	
Residence Life	5) Student Residents' Files	Keep for 5 Years after Graduation or last Residence date	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
School of Education	1) Student Records: Narrative Transcripts	Keep for 7 Years after Graduation	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
School of Education	2) Student Records: Self Evaluations before Graduation	Keep for 7 Years after Graduation	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
School of Education	3) Student Records: Graduates	Keep for 7 Years after Graduation	#Destroy Confidentially except PPST* Scores and Student Teaching Hours Send to Archives**	*PPST is the Pre-professional Skills Test. ** Integrate with Student Advising File #See definition for "Destroy Confidentially" in Glossary (Appendix D).
School of Education	4) Student Records: Students on Leave	Keep for 9 Years (after 4 semesters they are considered *Official Withdrawals.)		*See "Official Withdrawal" Final Disposition

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
School of Education	5) Student Records: Official Withdrawal	Keep for 7 Years	#Destroy Confidentially except PPST* Scores and Student Teaching Hours Send to Archives**	*PPST is the Pre-professional Skills Test. ** Integrate with Student Advising File #See definition for "Destroy Confidentially" in Glossary (Appendix D).
School of Education - MA	1) Accreditation and State Department of Instruction Materials	Keep until Superseded	Send to Archives	
School of Education - MA	2) Student Records	Keep for 5 years after Graduation, Withdrawal or Leave Date	Send to Archives	
School of Nursing	Student Records	Keep for 5 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Student Activities & Leadership	1) Defunct Student Organization Files, Reports, etc. that Document Activities of Organizations	Keep until no longer needed for Administrative Purposes	Send to Archives	
Student Activities & Leadership	2) Student organization Files, Reports, etc. that Document Activities of Organizations	Keep for 3 Years or until no longer needed for Administrative Purposes	Send to Archives	

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS
Student Affairs	1) Counseling Files	Keep until Graduation or Student not here 5 Years	*Destroy Confidentially	*See definition for "Destroy Confidentially" in Glossary (Appendix D).
Student Affairs	2) Graduation/ Commencement Program Files	Keep as Timely	Send to Archives	
Student Affairs	3) Orientation Files	Keep as Timely	Send to Archives	
Technology Services	1) Catalogs*	Keep as Timely	Destroy	*For hardware and software
Technology Services	2) Consulting Records*	Keep for 7 Years or as Timely	Send to Archives	*Those pertaining to campus activities only.
Technology Services	3) Software and Hardware Reviews	Keep as Timely	Destroy	

ADDITIONS AND CHANGES PAGE

DEPARTMENT NAME	RECORD TYPE	OFFICE RETENTION PERIOD	FINAL DISPOSITION	EXCEPTIONS AND/OR COMMENTS

A Guide to Records Management at Alverno College

4. HOW TO PREPARE AND SEND RECORDS TO THE ARCHIVES

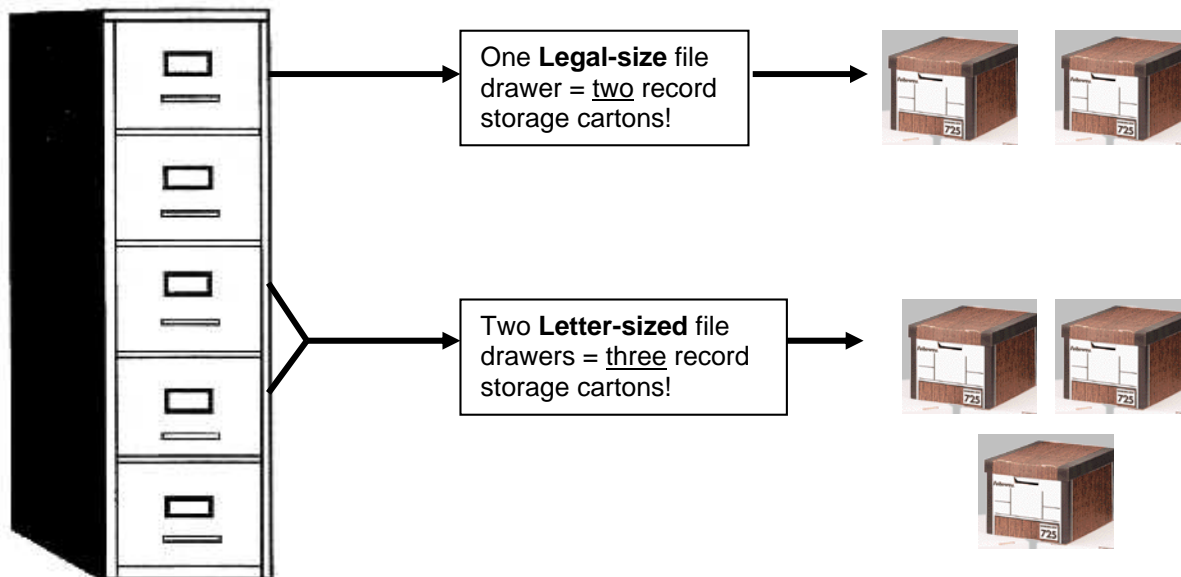
4.1 PREPARING PAPER RECORDS FOR SHIPMENT

4.1.1 CONTAINERS FOR SHIPMENT

To make the most efficient use of space in the College Archives, records are stored in standard-sized records storage cartons (the Archives uses "Banker's Boxes"). Individual offices should use only these containers to transmit records to the Archives. Trans-files, over-sized boxes, paper boxes, individual loose files bound together with rubber bands, file cabinets, etc. should never be used.

The record storage cartons have inside dimensions of 10 inches by 12 inches by 15 inches and hold about one cubic foot of records (**see Figure 4**). They are well designed for use with the College Archive's shelving and are constructed of durable materials. As a guide in estimating the number of containers you might need, multiply the total number of file drawers to be emptied by 1.5 for letter-size or by 2 for legal-size.

Figure 4.



4.1.2 SCREENING RECORDS FOR SHIPMENT

Before records are packed into cartons, review them systematically, using the Records Retention and Disposition Schedules in Section 3 of this Guide as a guideline. Send only those items for which the retention period has expired and

Weed the following from files:

- 1) Stocks of printed or reproduced documents kept for supply purposes where file copies have been retained for record purposes such as requisition slips.
- 2) Any duplicates. The Archives needs only one copy of each item.
- 3) Convenience copies of publications, reports, memoranda, etc. for which your office was not the originator or office of origin and which have not been annotated.
- 4) Materials not filed as evidence of department operations that have no informational value, such as telephone call slips, letters of transmittal, route slips, etc.
- 5) Remove photos from folders but do not discard them. Put them in a separate file (or carton depending on quantity) for transfer being careful to keep Color and Black and White photos separated. Label them, using pencil only, lightly on the back (or you can affix a post-it note to the back of the photo) noting the person, place, event, location, and date whenever possible.
- 6) Separate machine-readable formats such as DVD's, CD's, discs, tapes, etc. from paper records keeping only necessary paper with these materials (e.g. a script or program for a video presentation, a description of files on a CD, DVD, etc.). Generally, paper records are still preferable to electronic media as most (especially magnetic media like some discs or tapes) are fragile and unstable. Where paper would be unwieldy, less useful, or just not the same (e.g. extensive database files which future researchers may wish to manipulate, etc.), the machine-readable files should be maintained.

If ever there is any doubt as to whether or not documents (paper or other format) should be retained, please contact Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202 and we can decide together.

4.1.3 PREPARATION of MATERIALS TO BE SENT TO THE ARCHIVES

All paper records should come to the Archives in labeled file folders (including contents title and date when possible) unless size, shape or format irregularities prevent that, in which case the Records Manager should be consulted for proper procedures.

CD's, DVD's, videocassettes, audiocassettes and other machine-readable formats should also arrive at the Archives well-labeled, in appropriate, well-labeled boxes (including title, participant names, and creation date where possible) or sleeves (include the hardware and software used on the label). Feel free to consult the Records Manager if you have questions on proper labeling or preparation of these materials.

Aside from the above, the following conditions must be met in order to prevent damage to materials:

- 1) All paper clips and rubber bands must be removed. If paper materials must be kept together, replace these with staples.
- 2) Remove all "Post-it" type notes from all materials to be sent to the Archives as the adhesive will leave a harmful residue. (The only exception is on the backs of photos if this is the only way they can be labeled.)
- 3) Photocopy newspaper clippings, saving only the photocopy (unless the article is too long or unwieldy to permit photocopying).
- 4) Remove all materials from ringed binders, being careful to maintain the original order of records while placing them into file folders. Information that appears on the binder should be written on the file folder labels. Because these materials will rarely fit into one file folder, labeling should be done as follows: ABC Convention, 2012 I; ABC Convention, 2012 II; etc.
- 5) If legal and letter size materials must be combined, place all materials in a legal size file folder.

4.1.4 PACKING THE RECORD STORAGE CARTONS

Without disturbing the existing file arrangement, pack records firmly in the cartons. Do not force them. To make later reference easier, records should not be packed so tightly that withdrawal is hindered. If subsequent additions are contemplated, space should be allowed within the container for integrating.

Pack records upright in the cartons; do not place file folders on top of each other. Place file folders in the cartons so that their labels face the same direction as the carton's label. The cartons can accommodate both legal and letter-size files. Place legal-size files across the 15-inch side of the container. Place letter-size files across the 12-inch side. When both legal and letter-size files are mixed (even if there is only one legal-size file), place all files across the 15-inch side to avoid damaging any records (**see Figure 5**).

Do not over-pack cartons. Enough space should remain inside the carton so that records can be retrieved easily and so that the handles of the carton may be utilized properly. Over-packing causes cartons to split and break. When cartons are packed properly, they are simple to handle and contents can be easily removed for reference.

Be mindful of health and safety regarding weight. If the type of material to be transferred is of a nature that a full carton could weigh 50 pounds or more, the cartons should not be packed full. Alternative containers may be advisable. Contact Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202 if you have any questions.

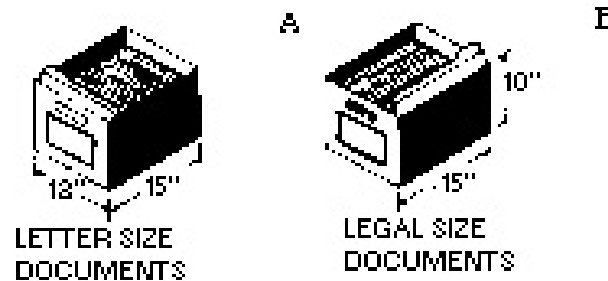


Figure 5. *How to Pack Record Storage Cartons Correctly*

4.1.5 LABELING

Label the carton using the form printed on one end or create a label similar to the sample below on your computer and affix it to the box. Each carton must be clearly marked as to office of origin, contents, and dates (**see Figure 6**). Place only one records series in a carton if at all possible. If two records series are placed in the same carton, the carton label must indicate that fact clearly. (e.g. Business and Management Division: Committee Records, 2005-2007; Alverno Management Association: Minutes and Agendas, 2004-2008, etc.)

Number cartons consecutively, entering both the number of the carton and the total number of containers in the shipment. For example, carton number one of a ten-carton shipment would be labeled "1 of 10"; etc.

Figure 6. Sample Record Storage Carton Label

BOX NO.	CONTENTS
1 of 7 <hr/> <hr/>	THE NAME OF YOUR OFFICE
FROM (Earliest date of records in box.) <hr/> <hr/>	General description of Contents (e.g. Fine Arts Division: Committee Records or Library: Staff Meeting Minutes and Agendas)
THRU (Latest date of records in box.) <hr/> <hr/>	
DESTROY (Ignore this if found on the label.) <hr/> <hr/>	

4.2 HOW TO TRANSFER ELECTRONIC RECORDS

4.2.1 ELECTRONIC RECORDS OTHER THAN EMAIL

In response to the proliferation of electronic records, server space has been set aside as an electronic archive or “e-archive.” This space is available for any record type (e.g. .xls, .jpg, .pdf, .mdb, etc.) except email. When electronic records are sent to the Archive, archives staff will place them in this repository. The following guidelines should be followed when sending these types of records to the Archives:

- 1) Large groups of files (e.g. 10 jpgs) or files that are large in size (e.g. a 2 MB database) should be sent to the Archives on some sort of external storage device such as a CD, a DVD, a USB drive, etc. The archivist and/or Technology Services staff can be consulted about this.
- 2) Smaller files or file groups can be sent as email attachments.
- 3) Whether attached to the email or attached to the physical item such as a CD or DVD, all records should arrive with a completed “Records Transmittal/Inventory” form (see Section 4.4).
- 4) Word processing documents should not be sent in electronic format. Instead, these files should be printed out and sent as paper. (See Section 4.1) Exceptions can be made on a case by case basis. Consult the archivist, Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202.

4.2.2 EMAIL

Most of today’s memos and correspondence come in the form of email. Email that reflects administrative operations and/or policy decisions are [college records](#) and must be preserved. Those that are simply a means to convey an attachment (Ask yourself, is it the attachment or the email that is most important?) or are simple replies to questions such as, “the meeting will be in Kellogg C,” do not need to be kept. If you are unsure about a particular email or have any questions, contact the archivist.

It is simple to preserve applicable email. An email e-archive has been created in Outlook as a limited access public folder. To find the email e-archive, click on “Public Folders” and follow this path: Public Folders > All Public Folders > e-archives. **(See Figure 7)**

All one has to do is to either “move to folder” or “copy to folder” each piece or group of mail that warrants preservation to the appropriate folder in the e-archive. **(See Figure 8)** Then send a quick email to archives@alverno.edu alerting us to the transfer. Similar to the actual Archives, only the archives staff has ready access to those items placed in the e-archive. If you want continuing access to a piece of email, then “copy” it so that it also remains with you. If an e-archive folder for your department needs to be created contact the archivist, Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202. It can be done quickly and easily.

Figure 7. Locating the Email E-archive

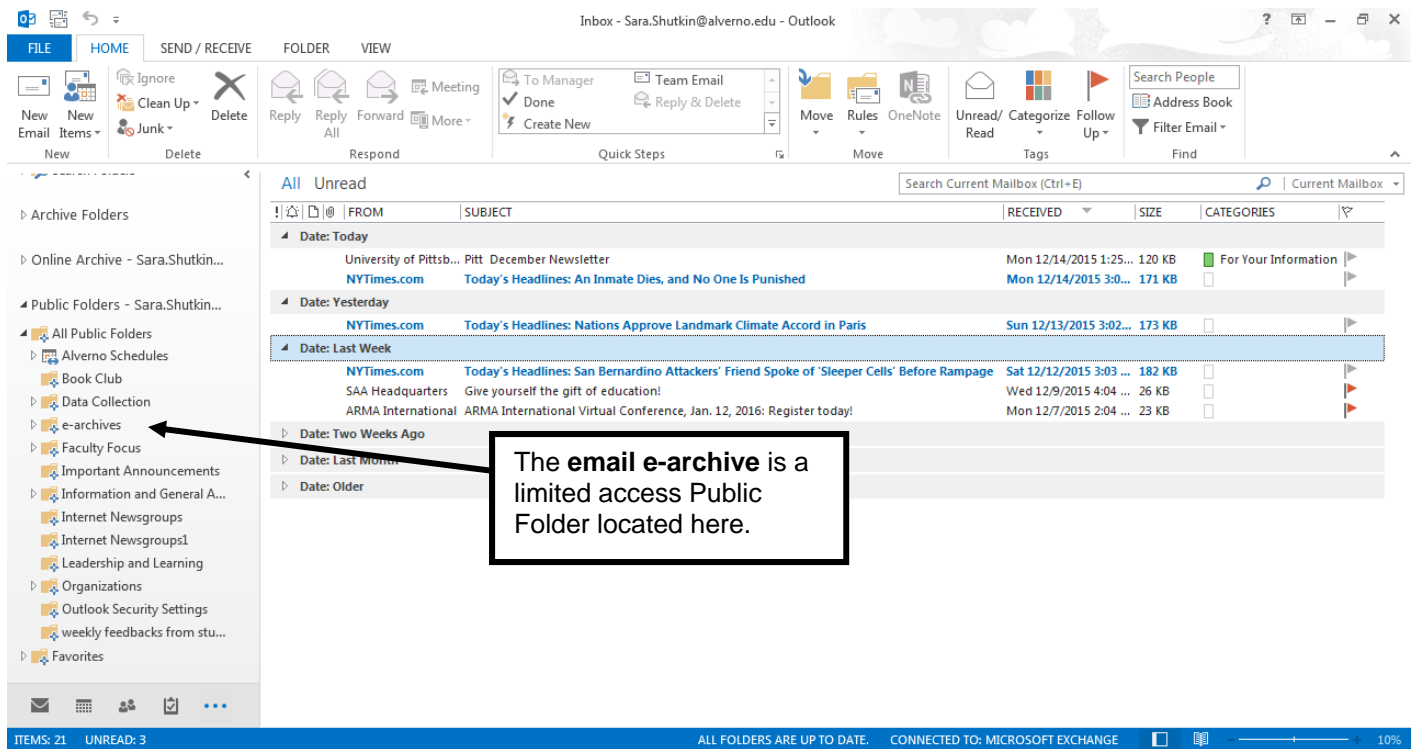
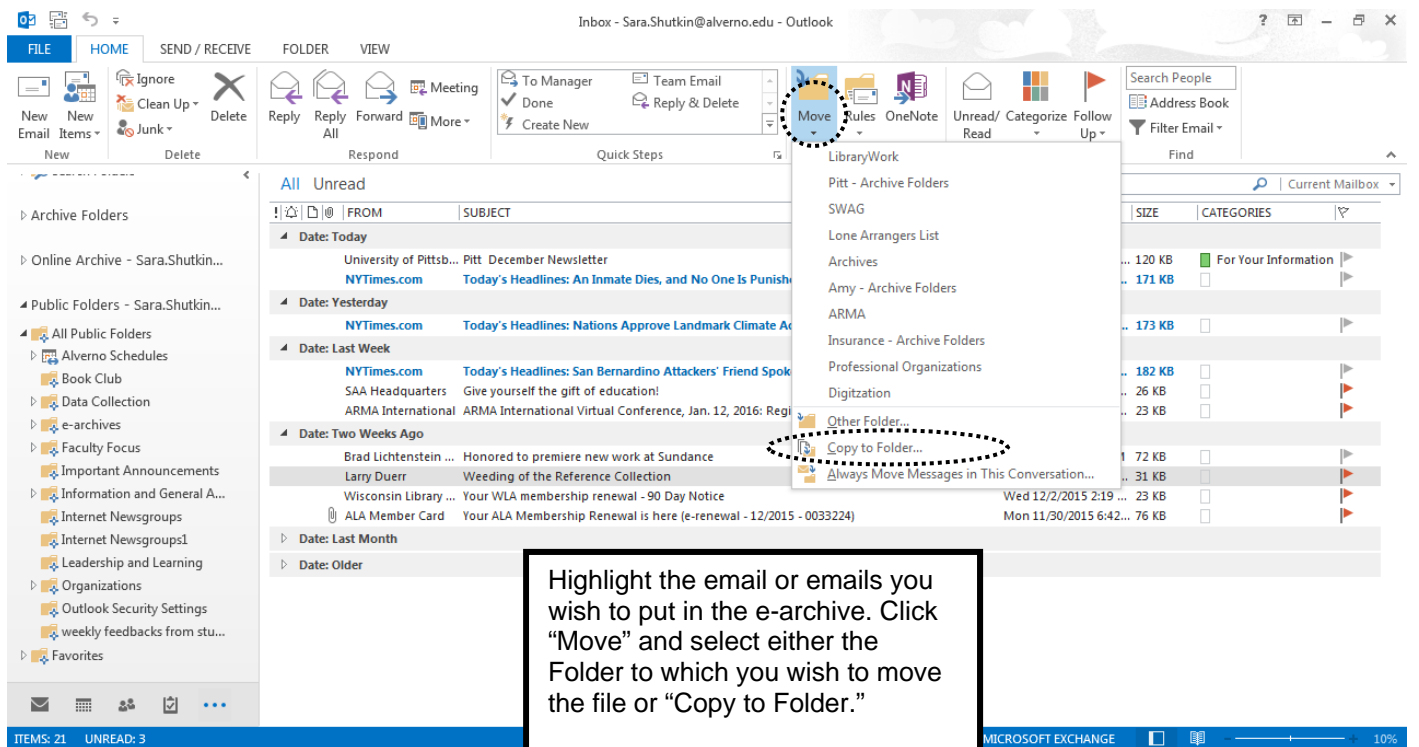


Figure 8. Copying or Moving Email to the Email E-archive



4.3 INITIATING THE TRANSFER

The personnel in the office maintaining records are responsible for alerting the College Archives and documenting the transfer of records.

In each office, one staff member should be given responsibility for completion of the required forms. A telephone call to extension 6202 or an email message to sara.shutkin@alverno.edu is sufficient notification so that adequate preparation can be made to receive the shipment.

4.4 THE RECORDS TRANSMITTAL AND INVENTORY FORM

All records that are sent to the Archives must have a completed [Records Transmittal/ Inventory Form](#) sent with them. (See Figure 9) This should be used like a packing slip thus if there is one box or twelve in a shipment, only one form needs to be completed. A copy of this completed form must be kept in your office for your own files. This form may be obtained on the Archives web site <http://www.alverno.edu/archives/>.

Complete the form as follows:

- 1) Name of Transmitting Office: This is the name of the office sending the records.
- 2) Address of Transmitting Office: Supply the building name and room number of the transmitting office (i.e. Corona 228).
- 3) Person Preparing Shipment: Supply the name of the person packing the records cartons and preparing this form.
- 4) Telephone Number: Supply the telephone number of the person packing the records and preparing this form.
- 5) Date of Transmittal: Date records are being sent to the Archives
- 6) Volume of Records: Note the total number of cubic feet in a paper shipment or the file size (e.g. 2 MB) in an electronic shipment. Since one record carton is equivalent to about one cubic foot, total volume will normally equal the number of cartons in a shipment.
- 7) Title/Date of Records: Supply the title by which this group of records is commonly known. For example: School of Nursing Correspondence, 2002-2007.
- 8) Restrictions: If records are of a confidential nature, indicate any access restrictions.

4.4 THE RECORDS TRANSMITTAL AND INVENTORY FORM (continued)

- 9) Other Comments or Conditions: List any other pertinent comments or conditions pertaining to the processing, access or [disposition](#) of records or any other information that should be known concerning or related to the materials being transmitted.

- 10) Records Description: For paper items, list the contents of each carton. Normally, this will be a listing of the folder headings, although it is not necessary in all cases. For electronic records, list the file names including their format (e.g. WORD, PDF, JPEG, etc.) on a CD or as part of an email attachment. Descriptions should be detailed enough to facilitate easy retrieval of requested files as this will be the only point of access to transmitted records until they are properly processed. Begin the inventory on the bottom half of the "Records Transmittal and Inventory" form and continue the list on additional pages as needed.

It is important that the Records Transmittal and Inventory Sheet be filled out completely. Time spent on writing a detailed and complete description will be helpful later when information is needed so that retrieval can be done quickly. Remember the form can be found on the Archives web site: <http://www.alverno.edu/archives/>.

Figure 9. *Records/Transmittal Inventory Form* <http://www.alverno.edu/archives/>

RECORDS TRANSMITTAL/INVENTORY

Note: Completion of this form is required prior to transfer of records to the College Archives. A completed form MUST accompany records to be transmitted. PLEASE RETAIN A COPY OF THIS COMPLETED FORM FOR YOUR FILES. Contact the Archives (Ext.6202) for assistance.

- 1.) Name of Transmitting Office: Alverno College Library
- 2.) Address of Transmitting Office: LA Library
- 3.) Person Preparing Shipment: Jane Doe
- 4.) Phone/Ext.: Ext. 6666 5.) Date of Transmittal: January 1, 2016
- 6.) Volume of Records (Cu. Ft.): 4 cu. ft. + 1 MB database file
- 7.) Title/Date of Records: Administrative Records, 2003-2009
- 8.) Restrictions (if records are confidential, indicate access restriction):
None
- 9.) Other Comments or Conditions (e.g., storage medium other than paper):
Also includes 3 1/2" videotapes + 1 CD

10.) **Records Description** (use additional sheets of paper if necessary):

Box No.	Contents (By Folder if Applicable)
1	Staff meeting Minutes and Agendas, 2003-2006
2	Correspondence A-L, 2003-2006
3	Correspondence M-Z, 2003-2006
4	A B C Conference, 2003 Annual Reports, 2003-2006 Goals Statements, 2003-2006 SWITCH Report, 2002 Library Advisory Committee Materials, 2003-2007 Library Collection Evaluation Materials, 2004-2008 Library Donations, 2009
	1 CD containing collection evaluation database in MS ACCESS, 2007
etc.

For Archives Use Only

Accession #: _____	Suggested Series: _____
Condition of Records: P F G E	Date Received: _____
Received By: _____	
Location: _____	
Comments: _____	

4.4.1 SPECIAL ITEMS

When records being transferred to the Archives are not sent in standard cartons, complete the Records Transmittal and Inventory Form, enumerating records separately. Entries should contain notations about special packing provisions. For example, a group of large scrapbooks tied in a bundle should be described as "three (3) scrapbooks tied in a bundle, not in cartons."

When records other than paper documents are being transmitted, the type of recording medium should be listed, i.e. microfilm, videotape, audiotape, CD's, DVD's, photographs, slides, etc.

4.4.2 ACCESSION NUMBERS

When records arrive at the Archives, they will be assigned an [accession number](#). The transmitting office will be notified of that number and should enter it immediately on their copy of the Records Transmittal and Inventory Sheet. It will be used in making reference requests until the records are fully processed.

4.4.3 ACCEPTANCE/REJECTION

Materials received where the outlined guidelines have not been followed will be rejected and returned to the transmitting office along with a note detailing the rationale for rejecting those materials. Contact the archivist, Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202 if you have any questions about this.

4.5 RETRIEVAL OF TRANSMITTED RECORDS

Reference services are available upon request from the transmitting office. The College Archives will provide three types of reference service:

- 1) Copies of records transmitted to the Archives;
- 2) Information from records in the Archives;
- 3) The return of records to the transmitting office;

Generally, records will not be referenced without the approval of the transmitting office.

Requests for reference service can be made by telephone, by email, by clicking on the "Ask the Archivist" link found on the Archives web page: <http://www.alverno.edu/archives/> or in writing using an **Archives Reference Request Form** available on the college intranet: <https://intranet.alverno.edu/Campus-Services/archives/index.php> or from the Archives. **(See Figure 10)**

When reference requests are made, the Archives will need the accession number (if available; this is assigned to a collection when it arrives in the Archives), box number (if paper) and file headings or other identifying information of requested items in order to swiftly and accurately retrieve materials for you. When making information requests, the office should clearly define the information needed and indicate specific boxes and/or file folders (when applicable) where that information is likely to be found. The office copy of the Records Transmittal and Inventory form should be used for this purpose.

Figure 10. Archives Reference Request Form [This can be found on the college Intranet: <https://intranet.alverno.edu/Campus-Services/archives/index.php>]

ARCHIVES REFERENCE REQUEST

Name: Jane Doe Date: January 1, 2010

Dept./Office: Library Phone/Ext.: Ext. 6666

Address (when applicable) LA Library

Email Address: Jane.Doe@alverno.edu

Status: Faculty Staff Student Alumna Community

Records Requested

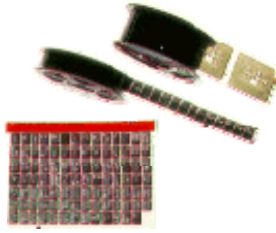
Accession/ Series No.	Box No.	Folder Title/Description
2000-20	2 of 2	Syllabus for MGT 221 Semester II 2000

Type of Service: Information Copies Records Return Other: _____

Needed Until: _____

For Archives Use Only

Type of Contact: Phone Written In-Person E-mail Other: _____
Comments: _____
Date Used: _____ Date Returned: _____
Authorized Signature: _____



APPENDIX A:

THE DECISION TO MICROFILM RECORDS

Microfilm is a way of handling information in the form of photographically reduced images. Microforms offer four potential advantages over other methods of information handling:

- 1) Inexpensive duplication of information for distribution and security back-up files;
- 2) Rapid retrieval;
- 3) Maximum reduction of required space and associated equipment; and
- 4) Permanence (something electronic records still do not have) and admissibility as evidence in court.

Because of our growing space shortage, item #3 is the most important reason for microfilming our records. As an example of the space savings that can occur through the use of microforms, note the following: the contents of an entire letter-size, four-drawer file cabinet can be reduced to a stack of 4 inch by 6 inch microfiche cards, only 1 inch thick! Therefore, there will still be an ever-increasing number of items microfilmed. We utilize an outside facility to do our microfilming.

Some items are more suitable than others for filming. For example, student records are superb candidates for microfilming where brochures are not suitable because they do not reproduce well (most filming is done in black and white). The decision to microfilm must be made jointly and cooperatively between department and archives so that only appropriate items are filmed and that all parties involved are satisfied with the results.

If you have questions or suggestions related to this issue, please contact Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202.

APPENDIX B:

INSTRUCTIONS FOR THE DESTRUCTION OF PAPER RECORDS WITHOUT LASTING VALUE

Records without lasting or enduring value are those types listed on the Retention and Disposition Schedules in Section 3 that are slated for destruction after their retention period has ended. They are records that only need to be kept for a limited period of time probably for administrative, fiscal or legal reasons. Some examples might be job applicant files, requisition slips, form letters, routing slips, etc. Anything of a confidential nature (where names are mentioned in a more detailed sense (this might include a Social Security number,) i.e. job applicant files, student files, etc.) must be placed in a secure office paper recycling bin. Other items may simply be disposed of in waste receptacles or regular recycling bins.

If you have questions pertaining to the destruction of records, please contact Sara Shutkin at sara.shutkin@alverno.edu or at extension 6202.

APPENDIX C: GLOSSARY

ACCESS.

The availability of records or permission to use them.

ACCESSION.

- 1) The formal acceptance into physical and legal custody of an addition to the holdings of the College Archives.
- 2) An addition to the holdings of the College Archives.

ACCESSION NUMBER.

The number assigned to materials transferred to the Archives in a single action for purposes of identification and control, e.g. 2000-20. This number is used to link the materials to the associated records.

ACTIVE RECORDS.

- 1) [Records](#) that continue to be used for the conduct of regular business by the creating administrative unit with sufficient frequency to justify keeping them in the office of creation; current records.
- 2) [Records](#) that are consulted at least once per month.
- 3) Computing: Information stored on computer systems that can be readily accessed by the operating system or software without a need to reload media, undelete the information or reconstruct it from other sources.

See also: [inactive records](#); [semi-active records](#).

ADMINISTRATIVE VALUE.

The usefulness of [records](#) for conducting office or departmental business. Administrative value is also known as operational value.

See also: [fiscal value](#); [legal value](#).

APPRAISAL.

The process of determining the value and thus the [disposition](#) of records based upon their current administrative, legal, and fiscal use; their evidential and informational (historical) value; their relationship to other records.

ARCHIVES.

- 1) The [documents](#) created or received and accumulated by a person or organization in the course of the conduct of affairs, and preserved because of their continuing value.
- 2) The building or part of a building where archival materials are located.
- 3) The agency or program responsible for selecting, acquiring, preserving, and making available archival materials.

BULK DATES.

Dates of those [documents](#) that constitute the largest part of a collection, record group, subgroup, or series. Bulk dates are used to inform researchers of the chronological or period strength of archival materials, particularly when [inclusive dates](#) are misleading.

GLOSSARY (continued)

COLLEGE RECORDS.

[Records](#) belonging to Alverno College rather than to an individual. They are made, produced, executed or received by any department, school, division, or office of this college or by any faculty or staff member in connection with the transaction of college business regardless of format.

COPYRIGHT.

A property right that protects the interests of authors or other creators of works in tangible media (or an individual or organization to whom copyright has been assigned) by giving them the ability to control the reproduction, publication, adaptation, exhibition, or performance of their works.

CORRESPONDENCE.

Any form of written communication sent or received in the course of affairs, such as letters, postcards, memoranda, notes, email, facsimiles, telegrams, or cables.

CREATOR.

The person, administrative unit, or organization that originates, receives, or accumulates records or [documents](#) in the course of normal business.

See also: [office of origin](#).

CUBIC FOOT.

A volume measurement for records. One cubic foot is a volume one foot high, one foot wide, and one foot deep. One “banker’s box” or records storage carton is the equivalent of one cubic foot. Fifteen linear inches of letter-size files will fill an archives or records storage box.

CURRENT RECORDS. (See: [active records](#).)

DATA ELEMENT.

The smallest and simplest unit of data that imparts meaningful information, it generally corresponds to a field in a database file or a blank on a paper or electronic form. For example, name, address, job title, Social Security number, record series number, and department name all represent data elements.

DATABASE.

Integrated data files organized and stored electronically in a uniform file structure that allows data elements to be manipulated, correlated, or extracted to satisfy diverse analytical and reporting needs. A database file is managed independently of the software necessary to perform the manipulations.

DESTROY CONFIDENTIALLY.

To destroy records when allowed by the retention schedules by shredding or placing them in a secure recycling bin.

GLOSSARY (continued)

DESTRUCTION DATE.

The date which marks the end of the required retention period for non-permanent records and the time when records should be destroyed unless the records are involved with or relevant to audit, litigation, or continuing administrative action.

DISASTER PLAN.

The documented policies and procedures intended to either prevent damage, minimize damage, or recover from damage to record materials during an unexpected interruption of operations, whether natural or man-made.

DISPOSITION.

The actions taken regarding records which are no longer needed to support on-going administrative activities in accordance with the College Records Retention and Disposition Schedule. Directions might include destroy, transfer to the College Archives, transfer to inactive records storage space, or permanently retain in office.

DOCUMENT.

Recorded information regardless of form, medium, or characteristics. Not all documents are [records](#).

DOCUMENTATION.

1. In archival usage, the creation or acquisition of documents to provide evidence of the creator, an event, or an activity.
2. In electronic records, an organized series of descriptive documents explaining the operating system and software necessary to use and maintain a file as well as the arrangement, content, and coding of the data which it contains.

DUPLICATION.

The creation of additional copies of a [record](#). The process of duplication may include formats such as microfilm, magnetic tape, CD, DVD, photocopies, etc.

ELECTRONIC RECORDS.

[Records](#) created by or captured and fixed for storage and manipulation in an automated system and only retrievable via that system. Electronic records can include both digital and analog information formats. They can be analogous to paper records: e.g. email to letters, word processing files to reports or other documents. Sometimes they take on more complex forms such as databases and geographic information systems.

EPHEMERA.

Documents created specifically for a transitory purpose often discarded after use. Advertisements, calling cards, notices, and tickets are examples of ephemera.

ESSENTIAL RECORDS.

(See: [vital records](#))

GLOSSARY (continued)

EVIDENTIAL VALUE.

The worth or usefulness of [records](#) for illuminating the nature and work of their [creator](#) by providing evidence of the [creator](#)'s origins, functions and activities. Evidential value is distinct from informational value.

See also: [administrative value](#); [fiscal value](#); [informational value](#), [intrinsic value](#); [legal value](#).

FERPA.

The Family Educational Rights and Privacy Act of 1974, commonly referred to as the Buckley Amendment, protects the rights of students by controlling the creation, maintenance, and access to educational records. It guarantees students' access to their academic records while prohibiting unauthorized access by others.

FILING.

- 1) The arrangement and classification of the information contained in [current records](#) for later retrieval.
- 2) The process of arranging and sorting [records](#) so that they may be retrieved rapidly when needed.

FISCAL VALUE.

The worth of [records](#) for the conduct of current or future financial or fiscal business and/or as evidence thereof.

See also: [administrative value](#); [legal value](#).

HISTORICAL VALUE.

The usefulness of [records](#) for historical research concerning the agency of origin or for information about persons, places, events, conditions, or things.

INACTIVE RECORDS.

- 1) [Records](#) no longer needed by their [creator](#) to conduct current business.
- 2) A [series](#) of records with a reference rate of less than one search per year.

See also: [active records](#); [semi-active records](#).

INCLUSIVE DATES.

The earliest and latest dates of record for materials being described. These dates are usually the date a record was created or the date a form was completed.

See also: [bulk dates](#).

INFORMATIONAL VALUE.

The worth of archives for reference or research deriving from the information they contain on persons, places, subjects, etc., as distinct from their [evidential value](#).

See also: [administrative value](#); [intrinsic value](#).

INTERMEDIATE RECORDS. (See: [semi-active records](#).)

GLOSSARY continued)

INTRINSIC VALUE.

The inherent worth of a document based upon factors such as age, content, usage, creation circumstances, signature or attached seals. *See Also:* [administrative value](#); [evidential value](#); [informational value](#).

LEGAL VALUE.

The worth of records for the conduct of current or future legal business and/or as legal evidence. *See also:* [administrative value](#); [fiscal value](#).

MACHINE-READABLE RECORDS.

Records in a specially-coded form, recorded on a medium such as magnetic tape, CD or DVD, whose contents are accessible only by computers or other machines such as audio or video playback units. *See also:* [electronic records](#).

MEMORABILIA.

Individual items with historical value such as programs, posters, brochures, clippings, buttons, pennants, and stickers. *See also:* [ephemera](#).

METADATA.

Commonly defined as data about data, metadata is structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource.

MICROFILM.

A fine grain, high resolution photographic film used specifically for the capture of document images in a highly reduced form. Microfilm is manufactured primarily in either 16 mm or 35 mm widths and in 100- or 215- foot long rolls.

MICROFILM JACKETS.

A transparent plastic holder approximately the size of microfiche (105 mm x 148 mm) into which individual strips of microfilm are inserted. Microfilm jackets can be updated.

MIGRATION PLAN.

A migration plan is a plan to move [electronic records](#) or [machine-readable records](#) from one system or format to another over time in order to maintain them and ensure that they will remain accessible.

NON-CURRENT RECORDS. (*See:* [inactive records](#))

NONPERMANENT RECORDS.

Records that have either limited value or are valuable for short periods of time and will ultimately be destroyed.

OFFICE OF ORIGIN.

The place where a given body of records were accumulated or created.

GLOSSARY (continued)

OFFICE OF RECORD.

The College department, which may or may not be the office of origin, that maintains the record copy of a document for the institution.

RECORD.

A [document](#) or recorded information regardless of format, created or received and maintained by an agency, organization, or individual in pursuance of legal obligations or in the transaction of business. A record has fixed content, structure, and context.

RECORD COPY.

The single official copy of a document maintained on file by a department of the College. A record copy is sometimes termed the file copy. The record copy is usually, but not always, the original. The record copy may be held by the creating office or another office of record.

RECORDS SERIES. (See: [series](#).)

RECORDS CREATION.

The process of production or reproduction of documents.

RECORDS CREATOR. (See: [creator](#).)

RECORDS DISPOSITION. (See: [disposition](#).)

RECORDS INVENTORY.

An identification and quantification of all records possessed by an organization, office or department.

RECORDS MANAGEMENT.

A field of management responsible for achieving economy, efficiency, and the systematic control of records creation, maintenance, use, reproduction, and disposition throughout their lifecycle.

RECORDS MANAGEMENT REPRESENTATIVE (RMR).

The records management representative (RMR) is a department's liaison with the Alverno Archives and Records Management Program. This is usually the person who has primary responsibility for that department's records.

RECORDS RETENTION.

The process of holding documents for further use.

RECORDS RETENTION AND DISPOSITION SCHEDULES.

Plans that outline how long records (by record type) are maintained in an office and where they go after a retention period has ended. (Often they are either destroyed or sent to the Archives.)

GLOSSARY (continued)

RECORDS RETRIEVAL.

The process of finding, making available, and delivering records or record information to the creating offices or other researchers. Retrieval is a part of the reference service provided by the Alverno College Archives.

RECORDS TRANSMITTAL/INVENTORY FORM.

A College Archives form that accompanies records transferred from the creating department or the department of record to the Alverno College Archives. The transmittal form lists in detail the records being transferred. A link to the form can be found on the Archives web page: <http://www.alverno.edu/archives/>

RESEARCH VALUE.

The usefulness of records for research by officials from government, business, or private organizations and by individuals and scholars.

RETENTION. (See: [records retention.](#))

RETENTION DATE.

The date after which a record is destroyed, transferred to the archives or disposed of in some other fashion as prescribed by the records retention and disposition schedule.

RETENTION PERIOD.

The time period within which particular records (normally a series) are to be kept. This is usually in terms of years or contingent upon an event, such as employee termination.

RETENTION SCHEDULE. (See: [records retention and disposition schedule.](#))

RETRIEVAL. (See: [records retrieval.](#))

ROUTINE ITEMS

Records that document regular (office) procedures such as the following:

- 1) Letters, email, and memoranda of transmittal that do nothing more than forward an enclosure and add nothing to the content of the item transmitted.
- 2) Acknowledgements.
- 3) Requests for information and publications after the information or publication has been received or sent.
- 4) Reservations and confirmations.
- 5) Itineraries.
- 6) Requests to be added to mailing lists after the addition has been made.
- 7) Invitations and announcements of meetings.
- 8) Routing slips and telephone message slips.
- 9) Shipping and packing lists after materials have arrived or been sent safely.
- 10) Mailing lists.
- 11) Old forms, etc.

GLOSSARY (continued)

SECURITY COPY.

A duplicate of records made in order to preserve their informational content in the event that the original records are destroyed, lost, or rendered illegible. Security copies are sometimes made on the same media; electronic records may be duplicated on a server, magnetic tape, CD, DVD or on different media; paper records may be duplicated on microfilm. Security copies are preferably stored in a location other than that of the original.

SEMI-ACTIVE RECORDS.

- 1) Records required so infrequently in the conduct of current business that they should be moved from office files to less expensive and slightly less accessible storage space pending their ultimate [disposition](#).
 - 2) Records that are accessed only once or twice per year.
- See Also: [active records](#); [inactive records](#).

SEMI-CURRENT RECORDS. (See: [semi-active records](#))

SERIES.

A group of related records or documents that are normally used and filed as a unit because of some relationship arising out of their creation, receipt, or use; and that permit evaluation as a unit for retention scheduling purposes. A series may be composed of [correspondence](#), or meeting minutes, or curricular materials, or financial records, etc.

SUBJECT FILING.

Grouping records together according to categories or subjects. This is often the system of choice.

TEMPORARY RECORDS.

Records that have either limited value or are valuable for short periods of time and will ultimately be destroyed.

TRANSFER.

The movement of records (including their physical and legal custody) from the [office of origin](#) to the College Archives.

VITAL RECORDS.

Records containing information essential to re-establish or continue an organization in the event of a disaster. Vital records comprise the records necessary to recreate the organization's legal and financial status and to determine the rights and obligations of employees and customers.

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