

Records Management

Records Retention Schedules



Agenda

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

Bottom Line Upfront – Legal Requirements

- Illinois State Record Act (5 ILCS 160) requires all State, County, City, Municipality organizations to maintain an active records management program. This includes your office at Western Illinois University.
- (5 ILCS 160/11) (from Ch. 116, par. 43.14) **Sec. 11. Violation.** All records made or received by or under the authority of or coming into the custody, control or possession of public officials of this State in the course of their public duties are the property of the State and shall not be mutilated, destroyed, transferred, removed or otherwise damaged or disposed of, in whole or in part except as provided by law. Any person who knowingly and without lawful authority alters, destroys, defaces, removes, or conceals any public record commits a Class 4 felony. (Source: P.A. 92-866, eff. 1-3-03.)

State Records Act (5 ILCS 160)

Six Quick Facts

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

Records Inventory – requires

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

The Appraisal Process

- The records inventory begins the appraisal process;
- Establishes reasonable retention periods;
- Identifies records for immediate disposal;
- Identifies records of lasting historical value sent to Archives.

Inventory Worksheet – Newly created for HR for a new record type added to the Retention Schedule

INVENTORY WORKSHEET

Field Rep: Andrew Spiro Application No.: 85-147K
 Date: July 26, 2019 Item Number: 121B

Record Series Title	Agency
Employment Eligibility Verification	Western Illinois University
Date:	Division
1986 -	VP Administrative Services
Volume:	Subdivisions
1.5 cu. ft.	Human Resources
Arrang. & Accretion:	Office Location
Neg.	Sherman Hall Rm. 105 #1 University Circle, Macomb, IL 61455
Arrangement:	Representative (Name, Title, Phone)
Chronological by year, then alphabetical by name	Tammy Irwin, Assistant Mgr., 309-298-1971
Number & Size of Files/Containers:	Records Office (State & Phone)
8.5" x 11" paper	Bruce Ackers 309-298-2717

Description (Reason for creation, use, form numbers, duplication, audit)

This record series consists of documentation required by the Department of Homeland Security-United States Customs and Immigration Service (USCIS), that verifies the eligibility of non-citizen nationals, lawful permanent resident, and aliens authorized to work in the United States. 8 CFR 274a stipulates the information and documentation required to complete the form provided by USCIS, as well as the retention period with which the employer must comply.

RETENTION:

Retain for three years from the date of hire or one year from the date of termination, whichever is longer; then destroy in a secure manner or delete from the system provided all audits have been completed if necessary, and no litigation is pending or anticipated. Retain electronic records in compliance with 44 Ill. Admin. Code 4400.80.

(Completed Worksheet)

STATE OF ILLINOIS STATE RECORDS COMMISSION

Application No. 85-147K
Page 1 of 2

RECORDS RETENTION SCHEDULE (Application for Authority to Dispose of State Records)

STATE RECORDS UNIT
ILLINOIS STATE ARCHIVES
SPRINGFIELD, IL 62756
(217)782-2647

AGENCY
Western Illinois University

DIVISION
VP Administrative Services

SUBDIVISION
Human Resources

APPROVED BY
THE
STATE RECORDS
COMMISSION

Data Jones
CHAIRMAN

[Signature]
SECRETARY

8/12/19
DATE

Pursuant to the provisions of the *State Records Act* (5 ILCS 160/1 et seq.), I hereby request authority to dispose of state government records according to the schedule which follows. I certify that those records to be disposed of will not be needed in the transaction of current business nor will they be of sufficient administrative, legal, or fiscal value to warrant further retention by this agency. I also certify that any microfilm or digitized copies will be made in accordance with the standards of the State Records Commission and will be adequate substitutes for the original records.

[Signature]
SIGNATURE OF AGENCY HEAD

8-12-19
DATE

RECORDS LISTED ON THIS SCHEDULE MAY BE DISPOSED OF PROVIDING:

- the individual retention period is complete;
- all audits have been completed, if necessary and no litigation is pending or anticipated;
- the items are correctly listed on a Records Disposal Certificate submitted to and approved by the State Records Commission 30 days prior to disposal.

Certain records, as stipulated on this schedule, may be microfilmed or digitized and the original hardcopy record disposed of if the record is microfilmed or digitized in accordance with the standards of the State Records Commission Rules and if the film or digitized copy is retained for the prescribed retention period. **Disposal of records after microfilming or digitizing must be noted on a Records Disposal Certificate.**

THIS SCHEDULE AND ANY RELATED RECORDS DISPOSAL CERTIFICATES
ARE TO BE RETAINED PERMANENTLY.

Approved worksheet page 1

RECORDS RETENTION SCHEDULE Application No. 85-147K (Application for Authority to Dispose of State Records) Page 2 of 2 (continued)

Item No.	Record Series Title, Description and Retention	Action Taken
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121B Employment Eligibility Verification

Dates: 1986-
 Volume: 1 1/2 Cf./ 450 MB
 Annual Accumulation: Negligible
 Arrangement: Chronological by Year, then Alphabetical by Name

This record series consists of documentation required by the Department of Homeland Security-United States Customs and Immigration Service (USCIS), that verifies the eligibility of U.S. citizens, non-citizen nationals, lawful permanent resident, and aliens authorized to work in the United States. 8 CFR 274a stipulates the information and documentation required to complete the form provided by USCIS, as well as the retention period with which the employer must comply.

RETENTION:

Retain for three years from the date of hire or one year from the date of termination, whichever is longer; then destroy in a secure manner or delete from the system provided all audits have been completed if necessary, and no litigation is pending or anticipated. Retain electronic records in compliance with 44 Ill. Admin. Code 4400.80.

Approved worksheet page 2

* Records Change in an office and so will your Retention Schedule.

Instructions for Completing Inventory Worksheet

The Inventory Worksheet requires the following information:

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

Application Number – Assigned by the Unit. (Example: 18-80. The numbers before the dash represent the year in which the request was received; the numbers after the dash represent the next available sequential number within that year. Add-on Application Example: 15-55A. The original application number followed by a letter suffix for internal purposes.)

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

Item Number – Necessary when completing more than one worksheet.

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

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

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

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

Number & Size of Files/Documents; Index or Finding Aids – Use this space to indicate the types of documents in the file. Either the physical measurements of the documents (length and width) or a description of the documents (IBM cards, 16mm microfilm, ledger sheets with size, ledger/minutes/journal bound in books, etc.). Index or Finding Aids – Should be described briefly. Indicate the index media format, such as 3" x 5" index cards or microfilm.

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

Agency – The official designation of the State agency.

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

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

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

Note: Continued on other page

Records Officer – Provide the contact information for the agency's designated Records Officer (name/phone).

Description – The detailed and accurate description of each record series. The description should contain enough detail to allow the State Records Commission to effectively appraise the value of the records series proposed for disposal. Records officers should be able explain in detail the function of the record, and identify it so that there are no misunderstandings about the record's identity, use and information on the worksheet. The description is usually completed by the Unit field representative after the initial visit to the agency.

Retention – Dispositions should be specified in terms of years or months. When a specified retention depends upon the occurrence of an event or the completion of a transaction, the nature of the event or transaction should be indicated in the retention. It is at this point that the appraisal process begins. This process is a joint analysis of the records series by the agency personnel and the Unit field representative.

INVENTORY WORKSHEET	
Field Rep: Andrew Spiro	Application No.: 85-147K
Date: July 26, 2019	Item Number: 121B
Record Series Title	Agency
Employment Eligibility Verification	Western Illinois University
Date	Division
1986 -	VP Administrative Services
Volume	Subdivision
1.5 cu. ft.	Human Resources
Annual Accumulation	Office Location
None	Sherman Hall Rm. 105 #1 University Circle, Macomb, IL 61455
Arrangement	Responsible (Name, Title, Phone)
Chronological by year, then alphabetical by name	Tammy Irwin, Assistant Mgr., 309-298-1971
Number & Size of Files/Documents	Records Officer (Name & Phone)
8.5" x 11" paper	Bruce Ackers 309-298-2717
Description (Name for creation, title, form number, duplicate, etc.)	
This record series consists of documentation required by the Department of Homeland Security-United States Customs and Immigration Service (USCIS), that verifies the eligibility of non-citizen nationals, lawful permanent resident, and aliens authorized to work in the United States. 8 CFR 274a stipulates the information and documentation required to complete the form provided by USCIS, as well as the retention period with which the employer must comply.	
RETENTION:	
Retain for three years from the date of hire or one year from the date of termination, whichever is longer; then destroy in a secure manner or delete from the system provided all audits have been completed if necessary, and no litigation is pending or anticipated. Retain electronic records in compliance with 44 Ill. Admin. Code 4400.80.	

Records Officer will assist you completing the Inventory Worksheet

Retention Schedules – Provost and Academic Vice President

APPLICATION FOR AUTHORITY TO DISPOSE OF STATE RECORDS
(CONTINUATION SHEET)

APPLICATION NO. 85-149
PAGE 209 OF 200 PAGES.

ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES	ACTION TAKEN
532.	<p>Annual Report (Record Copy)</p> <p>Dates: 1979 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p>This record series consists of the annual report outlining the academic highlights, accomplishments and future goals and objectives of the Department of Counselor Education and College Student Personnel.</p> <p>Recommendation: Retain one (1) set of the annual report in the office permanently. Transfer one (1) set of the annual report to the University Archives for permanent retention.</p>	Disposition Approved
533.	<p>Rejected Applicants File</p> <p>Dates: 1980 - Volume: ½ Cu. Ft. Annual Accumulation: Negligible Arrangement: Alphabetical by position</p> <p>This record series consists of letters of reference and rejection, applications for admission to the College Student Personnel Program, notices of selection and correspondence with applicants.</p> <p>Recommendation: Retain in office for one (1) year, then dispose of providing no litigation is pending or anticipated.</p> <p style="text-align: right;"><i>Superseded by 18-20 Item No. 2 12/19/18</i></p>	Disposition Approved
534.	<p>Counselor Education Student Files</p> <p>Dates: 1962 - Volume: 22½ Cu. Ft. Annual Accumulation: 1 Cu. Ft. Arrangement: Alphabetical</p> <p>This record series consists of 20 cubic feet of resumes, personal data forms, essays submitted by students explaining why they wish to enter the profession, copies of transcripts, etc. of students who have completed a major in Counselor Education dating back to 1962 and 2½ cubic feet of student files dating back to 1978 of students who have either never completed the application process or whose applications were rejected.</p> <p>Recommendation: Retain in the office for five (5) years following the date of graduation or day of last attendance at the University, then dispose of provided no litigation is pending or anticipated.</p>	Disposition Approved

(Old Version)

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APPLICATION FOR AUTHORITY TO DISPOSE OF STATE RECORDS

APPLICATION NO. 85-149
PAGE 209

PROVOST

Item No.	Description
532.	<p>Annual Report (Record Copy)</p> <p>Dates: 1979 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p>This record series consists of the annual report outlining the academic highlights, accomplishments and future goals and objectives of the Department of Counselor Education and College Student Personnel.</p> <p>Recommendation: Retain one (1) set of the annual report in the office permanently. Transfer one (1) set of the annual report to the University Archives for permanent retention.</p>
533.	<p>Rejected Applicants File</p> <p style="text-align: center;"><i>Superseded by University Wide Application No. 18-22 Item No. 2</i></p> <p>Dates: 1980 - Volume: ½ Cu. Ft. Annual Accumulation: Negligible Arrangement: Alphabetical by position</p> <p>This record series consists of letters of reference and rejection, applications for admission to the College Student Personnel Program, notices of selection and correspondence with applicants.</p> <p>Recommendation: Retain in office for one (1) year, then dispose of providing no litigation is pending or anticipated.</p>
534.	<p>Counselor Education Student Files</p> <p>Dates: 1962 - Volume: 22.5 Cu. Ft. Annual Accumulation: 1 Cu. Ft. Arrangement: Alphabetical</p> <p>This record series consists of 20 cubic feet of resumes, personal data forms, essays submitted by students explaining why they wish to enter the profession, copies of transcripts, etc. of students who have completed a major in Counselor Education dating back to 1962 and cubic feet of student file dating back to 1978 of students who have either never completed the application process or whose applications were rejected.</p> <p>Recommendation: Retain in the office for five (5) years following the date of graduation or day of last attendance at the University, then dispose of provided no litigation is pending or anticipated.</p>

(Updated Version)

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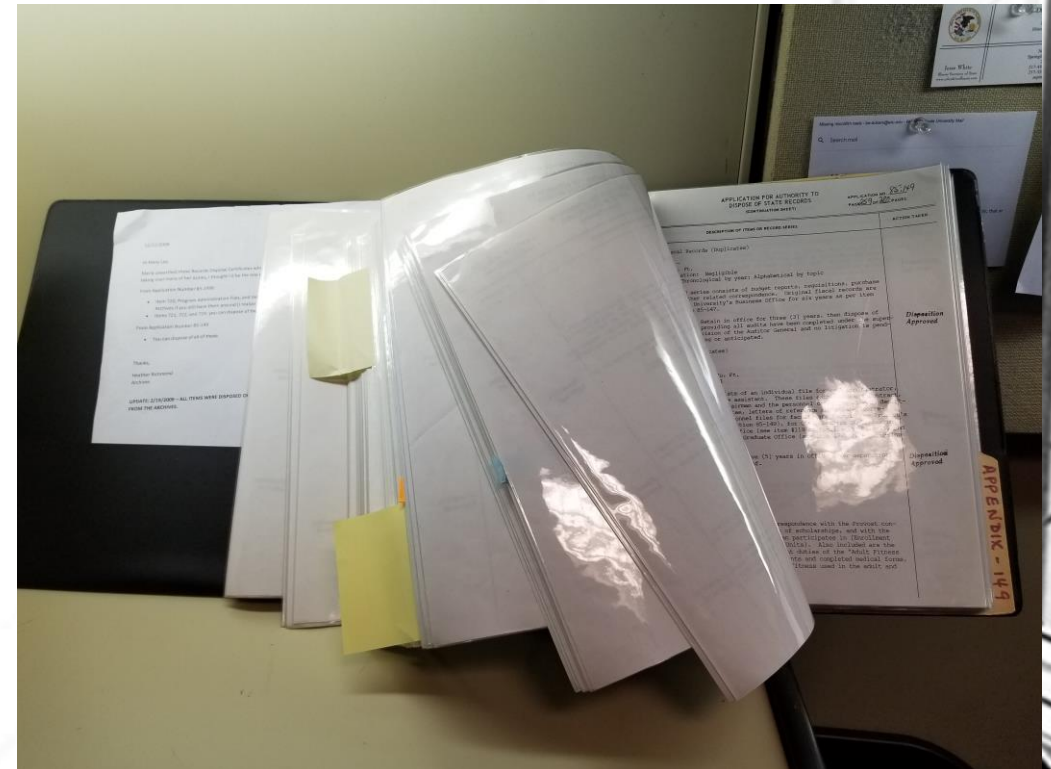
Originally Created in 1985 – Current Versions Have Been Digitized And Are Searchable

Records Retention Schedules – Original Copies From 1985



Records Retention and Disposal At WIU

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



Types of records

- Non-Records
- Records

Non-records

Examples of Non-Records

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

Records

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

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

University Records/Documents

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

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

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

Examples of University records of temporary value include:

- **Purchasing Records for General Operations**
- **Monthly Budget Reports**
- **Time Sheets**

Consequences For Poor Records Management

- **Legal.**
- **Class 4 Felony for destroying records with out approval.**
- **Interruption to essential service.**
- **Accountability problems in expenditure of public funds**
- **Loss of records of historic value.**
 - **What kind of records do you have in your offices that are of historic value?**

Additional Archive Materials We Want To Collect

- Save & Record Your History!

Photos

Posters

Programs

Brochures

Scrapbooks

DVD recordings of recitals/events

Publications

-A new Deal to Illinois: The Federal Art Project Collection of Wester Illinois University

-Building a Brighter Future for Rural Illinois: The Role of Public Transportation:

-Comprehensive report / Produced for the Illinois Partners by Illinois Institute for Rural Affairs.

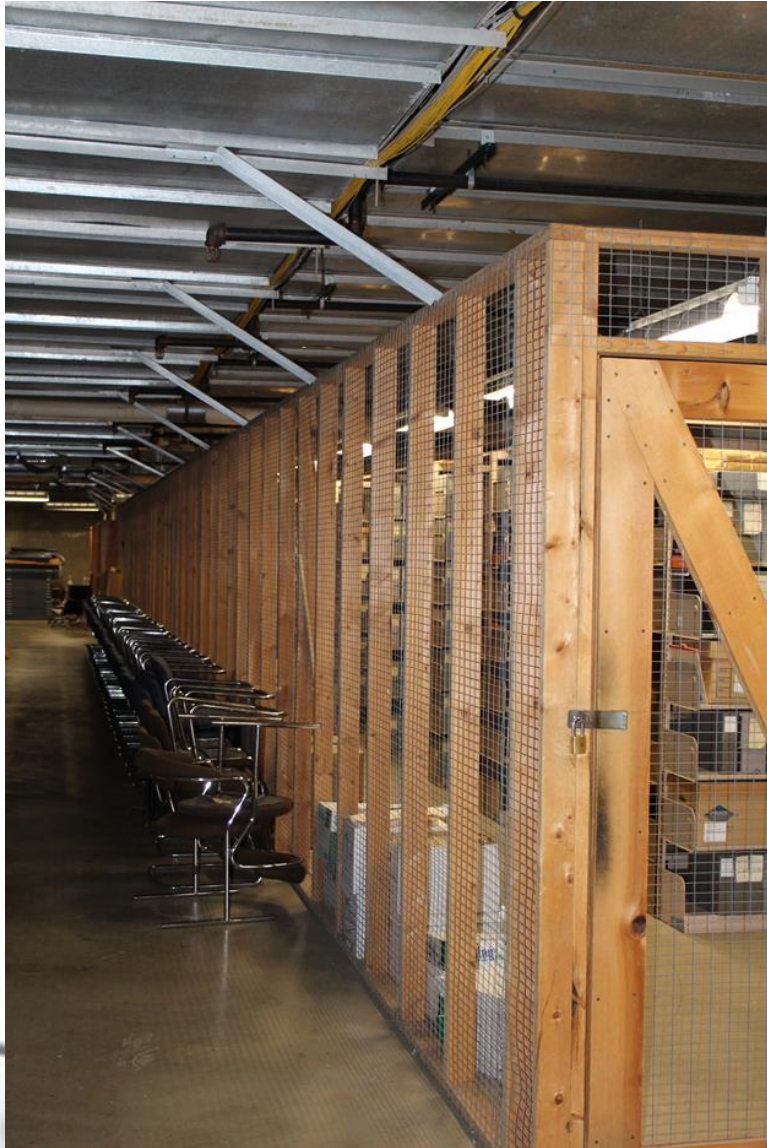
Papers for student organizations

Newsletters

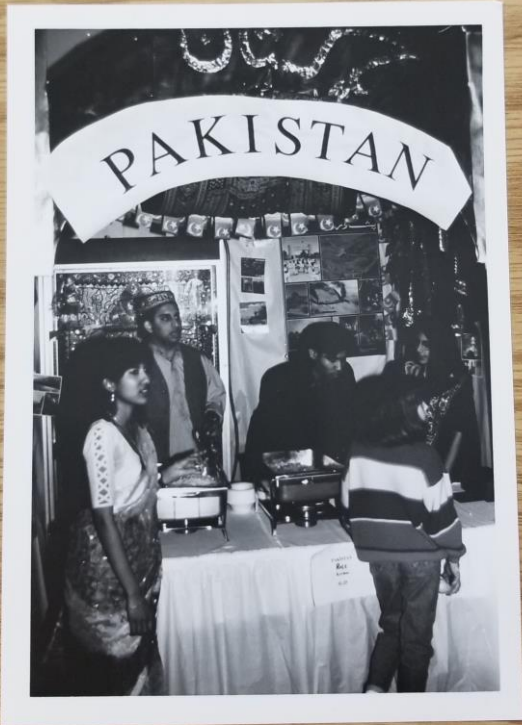
Journal

Etc.

Archived Documents In Storage At The Malpass Library

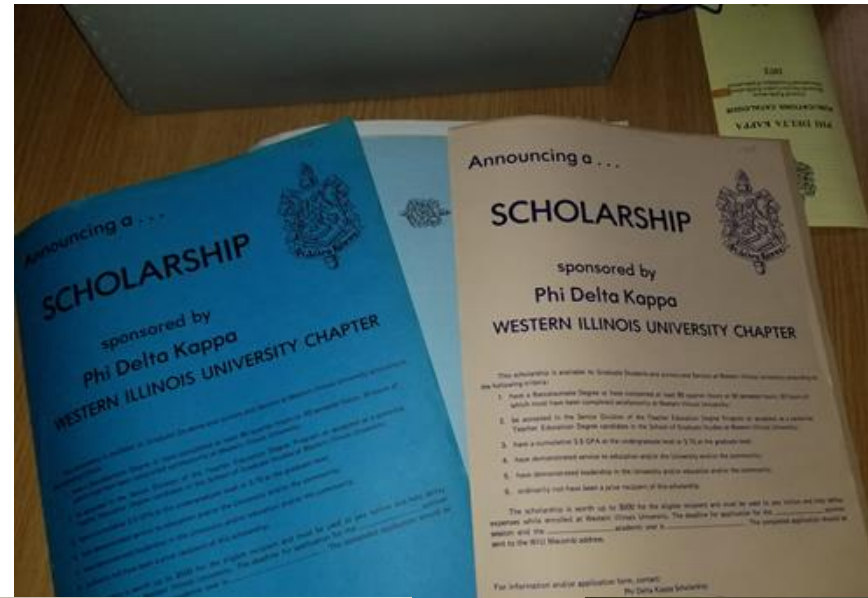


Preserving History for WIU



The History Of WIU

- It can not happen without your help!



188/20
Phi Delta Kappa
1940-
2 Boxes

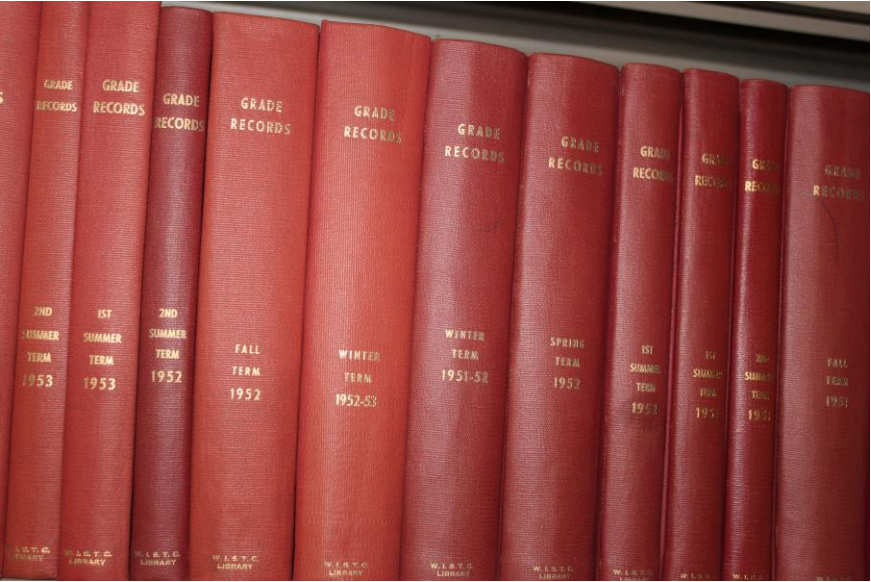
Box 1 Annual Report
 Essential Council
 Building Fund Contributions
 Chapter Officers Handbooks--Newsletter Editor and Historian
 Chapter Officers Handbooks--Secretary and Treasurer
 Cherish Their Good Deeds--supplements
 Committees
 Committees--Ladies' Night
 Correspondence
 Constitution and Bylaws
 District Conferences

Box 2 Financial Reports
 Membership--Alpha Pi Field Chapter
 Membership--Epsilon Xi Chapter (1867-)
 Minutes and Agendas of Meetings--June 1968
 Minutes and Agendas of Meetings--Sept. 1950-April 1968
 Minutes and Agendas of Meetings--1940-May 1950
 News, Notes, and Quotes
 Newsletters--Miscellaneous
 Newsletters--Phi Delta Kappa Newsletter
 Officers
 Timely Issues in Education--correspondence

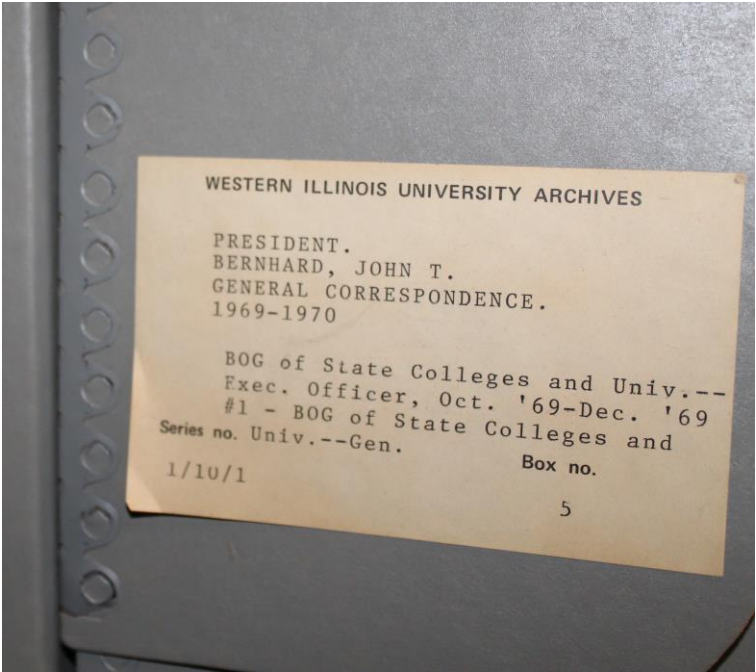
Alpha Theta	Bloomington, Illinois	1.00
Alpha Iota	Jackson, Mississippi	3.50
Alpha Kappa	Appleton, Wisconsin	1.50
Alpha Lambda	Fort Wayne, Indiana	1.50
Alpha Mu	Lafayette, Indiana	2.00
Alpha Nu	Toledo, Ohio	1.00
Alpha Xi	Des Moines, Iowa	1.00
Alpha Omicron	Charleston, Illinois	1.00
Alpha Pi	Macomb, Illinois	2.00
Alpha Rho	Bakersfield, Calif.	2.00
Alpha Sigma	Phoenix, Arizona	1.00
Alpha Tau	Salem, Oregon	1.00
Alpha Upsilon	Cape Girardeau, Mo.	1.00
Alpha Phi	Discontinued	
Alpha Chi	Santa Ana, Calif.	2.00
Alpha Psi	Utica, New York	1.00
Alpha Omega	San Jose, Calif.	2.00
Beta Alpha	Mobile, Alabama	4.00
Beta Beta	Springfield, Mo.	1.00
Beta Gamma	San Luis Obispo, Calif.	2.00
Beta Delta	Fanshawe, Calif.	2.00
Beta Epsilon	Spokane, Wash.	2.00
Beta Zeta	Chicago, Calif.	3.00
Beta Eta	Garden City, N. Y.	2.00
Beta Theta	Tulare, Calif.	2.00
Beta Iota	Ashland, Oregon	2.00
Beta Kappa	Long Beach, Calif.	3.00
Beta Lambda	Lafayette, Louisiana	1.00
Beta Mu	St. Cloud, Minn.	1.00
Beta Nu	Edinboro, Pa.	3.00
Beta Xi	Redlands, Calif.	3.00
Beta Omicron	Emmetsville, Wash.	2.00
Beta Pi	Little Rock, Ark.	1.00
Beta Rho	Ararat, Calif.	3.00
Beta Sigma	Hughes, Tenn.	2.00
Beta Tau	Brewerton, Wash.	2.00
Beta Upsilon	Modesto, Calif.	2.00
Beta Phi	Indiana, Pa.	2.00
Beta Chi	Imperial Valley, Calif.	3.00
Beta Psi	San Fernando Valley, Calif.	2.00
Beta Omega	Contra Costa Co., Calif.	3.00
Gamma Alpha	Santa Rosa, Calif.	3.00
Gamma Beta	Dallas, Texas	1.00
Gamma Gamma	Noise, Idaho	2.00
Gamma Delta	Newstead, Minn.	2.00
Gamma Epsilon	Bakona, Indiana	2.00

Send us your history to preserve it!

Historical Documents – Just a few!



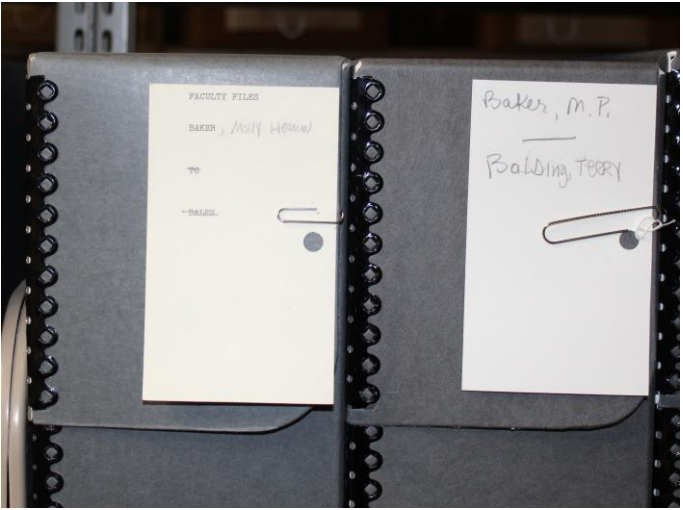
Grade books since the beginning of WIU.



Presidential papers from all of WIU's Presidents



Sequels



Faculty Files

Records Inventory

- **The initial records inventory were complete in 1985 for every department on campus.**
- **Identifies the scope and quantity of records in your office.**
 - **Does the current Retention Schedule fit my office record?**
 - **Do I have records not on the Retention Schedule?**
- **Appraise Records**
 - **Administrative Value**
 - **Legal Value**
 - **Fiscal Value**
 - **Research, Historical or Archival Value**
- **Add or amend the Retention Schedule for your office/Department**

Records Disposal Certificate (RDC)

**STATE OF ILLINOIS
RECORDS DISPOSAL CERTIFICATE**

Send to: WIU Records Officer
Bruce E Ackers, be-ackers@wiu.edu
University Archives/ Malpass Library
For assistance call: (309) 298-2717

Fill in all columns and sign. Send original and one copy to Records Officer at above address. Disposal date will be approximately 30 days from date form is submitted. Retain records until approved copy is returned to your office. **Retain approved copy permanently.**

APPLICATION # _____
(Authority to dispose of State Records)

STATE AGENCY: **Western Illinois University**
(Department/Division, Bureau, Section)

ADDRESS: **1 University Circle**

CITY/ZIP CODE: **Macomb 61455**

CONTACT: _____

ITEM # FROM APPLICATION	TITLE OF RECORD SERIES	INCLUSIVE DATES	VOLUME OF RECORDS (cu. ft. or MB/GB)	METHOD OF DISPOSAL

If any of the above records are microfilmed, I hereby certify that the film on which the records were reproduced complies with the standards given in Section 4400.50 of the Regulations of the State Records Commission.

If the records are digitized, I certify that the originals are reproduced accurately and legibly in all details in a medium that does not permit additions, deletions, or changes to the image and complies with the standards given in Section 4400.70 of the Regulations of the State Records Commission.

I hereby certify that in compliance with authorization received from the State Records Commission the records listed above will be disposed of on or after this date:

Signature Date

Please print name and title on the line above

APPROVED:

Chairman, State Records Commission Date
Director, Illinois Archives

(Signature required only if records listed above have been microfilmed or digitized)

**STATE OF ILLINOIS
RECORDS DISPOSAL CERTIFICATE**

Send to: WIU Records Officer
Ann Patridge, al-patridge@wiu.edu
University Archives/ Malpass Library
For assistance call: (309) 298-2717

Fill in all columns and sign. Send original and one copy to Records Officer at above address. Disposal date will be approximately 30 days from date form is submitted. Retain records until approved copy is returned to your office. **Retain approved copy permanently.**

APPLICATION # **85-149**
(Authority to dispose of State Records)

STATE AGENCY: **Western Illinois University**
Counselor Education
(Department/Division, Bureau, Section)

ADDRESS: **1 University Circle**

CITY/ZIP CODE: **Macomb 61455**

CONTACT: **Diane Heisner di-heisner@wiu.edu; 762-1876**

ITEM # FROM APPLICATION	TITLE OF RECORD SERIES	INCLUSIVE DATES	VOLUME OF RECORDS (cu. ft. or MB/GB)	METHOD OF DISPOSAL
534	Counselor Education Student Files	2007-2010 ✓	1.5 cu ft	Shred
535	Course Evaluation Forms	2009-2011 ✓	1.0 cu ft	Shred
537	Fiscal Administration File	FY 2010-2014 ✓	.5 cu ft	Shred

COPY

RECEIVED
JUL 21 2017

TR OFF 8/17/17

State Records Commission

If any of the above records are microfilmed, I hereby certify that the film on which the records were reproduced complies with the standards given in Section 4400.50 of the Regulations of the State Records Commission.

If the records are digitized, I certify that the originals are reproduced accurately and legibly in all details in a medium that does not permit additions, deletions, or changes to the image and complies with the standards given in Section 4400.70 of the Regulations of the State Records Commission.

I hereby certify that in compliance with authorization received from the State Records Commission the records listed above will be disposed of on or after this date:

8/11/2017

Signature Date
Diane Heisner 7-13-17

Diane Heisner
Please print name and title on the line above

APPROVED:

Chairman, State Records Commission Date
DIATR 8/9/17
Director, Illinois Archives

(Signature required only if records listed above have been microfilmed or digitized)

Completing a Records Disposal Certificate

Instructions for Completing State of Illinois Records Disposal Certificate

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

- Application #** – The number of the Schedule/Application. If you need to dispose of records with different application numbers (i.e. 85-149 and 18-22), you will need to complete two separate disposal certificates.
- State Agency** – Always Western Illinois University
- Department/Division, Bureau, Section** – Name of Office completing the form.
- Address** – Always - 1 University Circle, Macomb 61455
- Contact** – Your Name, Email Address, and Phone Number
- Item No. from Schedule/Application** – The number for the records listed on the Schedule/Application.
- Records Series Title** – The title listed on the Schedule/Application.

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

Recommendation: Retain original course outlines in the Dean's Office for three (3) years, then dispose of providing course outline has been revised or superseded by a new version.

If today's date is July 1, 2019, then the last date you could use is June 30, 2016.
 If it is FY 2020 and you want to dispose records by fiscal year, the last date would be FY 2015.

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

Method of Disposal – How the records are destroyed, such as shred, incinerate or recycled.

Microfilm/Digitization Certification Block – You sign here when records having a permanent retention are converted to microfilm in compliance with 44 Ill. Admin. Code 4400.60 or converted to digital storage in compliance with 44 Ill. Admin. Code 4400.80.

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

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

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

14. Date: – Today's date.

15. Name/Title – Typed or printed name and title for the signature provided.

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

For questions please call the Records Officer at (309) 298-2717.

STATE OF ILLINOIS RECORDS DISPOSAL CERTIFICATE		APPLICATION # <u>1 85-149</u> <small>(Authority to dispose of State Records)</small>		
Send to: WTU Records Officer Bruce E Ackers, be-ackers@wiu.edu University Archives/ Malpas Library For assistance call: (309) 298-2717		STATE AGENCY: <u>1 Western Illinois University</u>		
Fill in all columns and sign. Send original and one copy to Records Officer at above address. Disposal date will be approximately 30 days from date form is submitted. Retain records until approved copy is returned to your office. <u>Retain approved copy permanently.</u>		<u>3. ex. Counselor Ed. & College Student Personnel</u> <small>(Department/Division, Bureau, Section)</small>		
		ADDRESS: <u>4. 1 University Circle</u>		
		CITY/ZIP CODE: <u>Macomb 61455</u>		
		CONTACT: <u>5. Your Name, Email, & Phone No.</u>		
ITEM # FROM APPLICATION	TITLE OF RECORD SERIES	INCLUSIVE DATES	VOLUME OF RECORDS (in lb. or MB-GB)	METHOD OF DISPOSAL
<u>6. 634</u>	<u>7. Counselor Education Student Files</u>	<u>8. FY2004 to FY2014</u>	<u>9. 5 cu. ft.</u>	<u>10. Shred</u>
<u>6. 637</u>	<u>7. Fiscal Administrative Files</u>	<u>8. FY2008 to FY2016</u>	<u>9. Neg.</u>	<u>10. Shred</u>
If any of the above records are <u>microfilmed</u> , I hereby certify that the films on which the records were reproduced complies with the standards given in Section 4400.50 of the Regulations of the State Records Commission. If the records are <u>digitized</u> , I certify that the originals are reproduced accurately and legibly in all details in a medium that does not permit additions, deletions, or changes to the image and complies with the standards given in Section 4400.70 of the Regulations of the State Records Commission.		I hereby certify that in compliance with authorization received from the State Records Commission the records listed above will be disposed of on or after this date: 12. At least 30 days past today's date. <u>13. Your Signature</u> Signature <u>14. Today's Date</u> Date <u>15. Your Printed Name</u> Please print name and title on the line above APPROVED: <u>16. For Official State Use Only</u> Chairman, State Records Commission Date Director, Illinois Archives		

Rev 6/2019 wiu

WIU Records Management

A Guide for Estimating the Volume of Records

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

TYPE	SIZE	VOLUME	CUBIC FEET
Box	Bankers (2000 sheets)	10" x 12" x 15"	1
	Copier Paper	10" x 15" x 18"	1.5
	Legal Bankers	10" x 15" x 24"	2
	Long Bankers	10" x 15" x 36"	3
Standard File Cabinet	Each 15" drawer		1.5
	Each 15" drawer		2
Lateral File Cabinet	Letter	Each 39" drawer	2.5
	Legal	Each 39" drawer	3
Shelf Files	Letter	15" x 36" shelf	3
	Legal	15" x 36" shelf	3.4
Open Shelving Files	Letter	36" long	2.4
	Legal	36" long	3
Rolling Recycling Bin	95 gallons, 300 pounds	28" x 25" x 42"	15
Index Cards	3" x 5"	12" stack	0.1
	4" x 6"	12" stack	0.2
	5" x 8"	12" stack	0.3
Microfilm	16mm x 100'	90 reels	1
	35mm x 100'	44 reels	1
Microfiche	4" x 6"	12" stack	0.2
Green bar prints-outs	21" x 15"	10" stack	1
Electronic Text Files	See Method below		

General Formula

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

- Measure (in inches) and then multiply the item's Length x Width x Height
- Divide the total by 1728 = CUBIC FEET per item.

One cu.ft. of records weighs about 30 lbs. dry & >50 lbs. if wet. One ton of records equals approximately 70 cu.ft.

Method for finding volume of electronic records

Right click on the files or folders you plan to delete

Scroll down to Properties on the dropdown menu

"Size on disk" – will tell you how many KB, MB, GB, TB in that unit

Volume Estimating Guide to complete RDC

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WIU Records Management

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To determine the size of multiple files follow this link [Electronic Record Size](#) to view a short video.

Malpass Library's Large Capacity Shredder

- Disposing Of Your Approved Documents For Shredding By The State Records Commission



Free use available for all departments at WIU.

Forms You Need for Records Management

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

CLOSING – We Covered

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

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