



2015 Administrative Leadership Conference

**Records and Information
Management Services (RIMS):
We're Here to Help!**

April 22, 2015



Workshop Presenters

- Linnea Knapp, Assistant Director
Records & Information Management Services
- Tom Wood, UIS University Archivist
- Jordan Phoenix, Assistant Director
Records & Information Management Services



Please...

- Turn off cell phones.
- Avoid side conversations.
- Sign the attendance roster.
- Complete the evaluation at the end of the workshop.



Workshop Objectives

- Identify where to go for detailed information about University Records.
- Define obligations for managing records and other information assets.
- Describe how to initiate a request for records disposals and transfers.
- Name the steps to create a department-level Records and Administrative Data Management Plan.



Managing Records & Information

- Internal Obligations
 - General Rules Concerning University Organization and Procedure
 - Article 4, Section 4



Managing Records & Information

- External Obligations
 - Illinois State Records Act
 - Joint Committee on Administrative Rules (JCAR)
 - HIPAA
 - FERPA

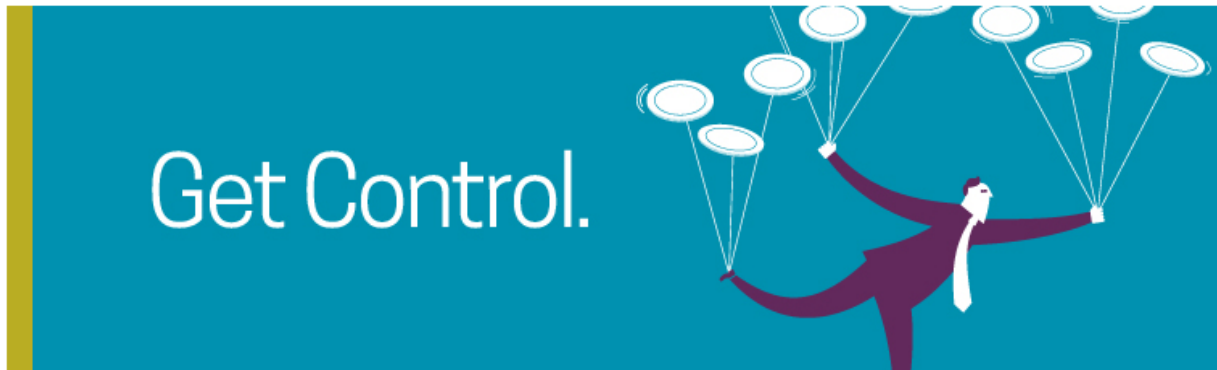


RIMS Website

go.uillinois.edu/RIMS

[University of Illinois](#) » [Chief Information Officer](#) » [Services](#) » [Records and Information Management Services](#)

Records and Information Management Services



The purpose of the Records and Information Management Services (RIMS) office is to provide a cohesive approach to the effective management of records and information resources throughout the University of Illinois, across all departments and campuses.

This approach requires close coordination with other units as well as individuals with departmental and technical expertise. An effective program will help protect vital University records, reduce legal liability, support the preservation of historic records, promote scholarship and teaching excellence, and improve operational efficiencies.

The RIMS office consists of several core staff members, a Policy Advisory Committee, and an ad hoc virtual team of functional and technical experts from across the University that are available for input on issues related to their areas of expertise.

For more information about the work of the RIM Policy Advisory Committee please visit the [Advisory Committee](#) page.

Records and Information Management Services

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Policy and Procedures

In this section you will find detailed recommendations for your information management.

The University of Illinois receives and generates a large amount of information every year in various formats such as paper documents, electronic files, and photographs. Consequently, University offices seek to manage and store this material until its business use expires and it can be disposed of, or be transferred to the University Archives.

The key to better information management is to make it part of an ongoing business process so that records are appropriately stored, transferred, and disposed of as a normal course of business, not simply when space runs out or when staff retires. Doing so will reduce the costs and burdens caused by systems or space limitations and by staff turn-over.

[Records and Information Management Practical Guide](#)

[Policies and Communications](#)

[Scanning Records - Overview](#)

[Planning a Move](#)

As more topics and issues are addressed in the RIMS office, more resources will be added to this page. If you can't find a resource that answers your questions please feel free to [contact the RIMS team](#).

About RIMS

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Retention and Disposal

Most records aren't kept forever. Typically, less than 5 percent of a unit's records have enduring historical value. When a [record](#) is created, it goes through a life cycle of use, retention, appraisal, and disposition. The [Illinois State Records Act](#) requires that State approval is received prior to disposing of University Records. Conversely, the University also receives and generates many [Non-Record materials](#) which do not require State approval prior to disposal.

In this section you will find various records and information management resources to assist you with the retention and disposal part of the information life cycle.

As more topics and issues are addressed in the RIMS office, more resources will be added to this page. If you can't find a resource that answers your questions please feel free to [contact the RIMS team](#).

[Records Retention](#)

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Training

This section contains self-paced training modules relating to records and information management and a short video about managing emails. You can also learn more about the [Records Liaison](#) program. In addition to the self-paced training modules, the RIMS team is happy to train your unit on various aspects of records management. If you would like us to lead a training session for your unit during a staff meeting or other agreeable time, please [contact the RIMS team](#).

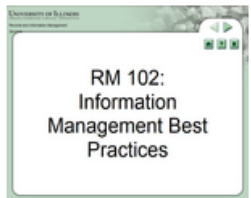
Training Modules



[Dealing with the Monstrous Menace of Email - \(Transcript\)](#)



[Records and Information Management Basics - RM 101](#)



[Records and Information Management Best Practices - RM 102](#)



[Records and Information Management for Records Liaisons - RM 201](#)

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Forms and Other Resources

These resources can help you make decisions about your records management and learn more about best practices.

[Forms and Tools](#)

[Decision Trees](#)

[RIMS Brochures](#)

[External Resources](#)

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RIMS Website

Decision Trees

A decision tree uses a branching method to illustrate each possible outcome of a decision. These decision trees will help you during the records management process.



Should I Scan?



Is it a Record?



Records Disposal Process

Forms and Other Resources

Forms and Tools

Decision Trees

RIMS Brochures

External Resources

FAQ



Records Disposal or Transfer

- State approval needed before disposal
- University Archives / RIMS approval needed before transfer
- RIMS will work with you during the process



Records Disposal Process

- Step 1:
Categorize the Files
- Step 2:
Identify Duplicates and Non-Records
- Step 3:
Determine the Retention
- Step 4:
Identify Disposal Volume and Date Range



Records Disposal Process

- Step 5:
Submit Disposal Request to the RIMS Office
(RIMSgroup@uillinois.edu)
- Step 6:
Disposal Approved
- Step 7:
Dispose of the Files
- Step 8:
Submit Disposal Confirmation to RIMS Office



Records Transfer Process

- Steps 1-3 remain the same
- Step 3 – Retention Requirements may be:
 - Eligible for disposal
 - Not yet eligible, must be retained until retention period has passed
 - Transfer to University Archives



Transfer to Inactive Records Storage

- Records identified as not yet eligible for disposal
- Options:
 - Departmental Records Storage
 - RIMS Storage Facility
 - CINTAS



Transfer to University Archives

- Records identified as having enduring historical value
- To start the transfer process contact the University Archives (Tom Wood)
- Complete a file-level inventory
- Submit transfer confirmation to RIMS Office



University Archives





Examples of University records of enduring value

- Documents, reports, publications 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)
- Records of significant campus events, initiatives, visitors, including photos and audio-visual material
- Meeting minutes and agendas
- Annual Budget Reports
- Course catalogs and timetables
- Student grades and transcripts
- Annual Payroll Summary Reports

What happens to records sent to the Archives? Records as received



Records after processing



Archon Collection Record

E1/1/15. President's Office, Subject File, 1991-1994 | UIS Archives/Special Collections

Title: E1/1/15. President's Office, Subject File, 1991-1994 

ID: E/01/01/15

Extent: 10.0 Cubic Feet

Arrangement

By subject

Creators

[President/Chancellor](#)

Administrative Information

Acquired: 03/18/1998.

Acquisition Note: *Source:* Emily Schirding.
Added to on 3/8/2000

Collection Material Type: Official Records

 [Printer-friendly](#) |  [Email Us](#)

Scope and Contents:

The President's Office Subject File consists of personal correspondence from the Lynn Administration (1991-1994).

Included is correspondence with division heads, deans, and off-campus interests; social invitations, thank-you letters and speaking requests; reports on academic plans, intersessions, commencement, 25th Anniversary Celebration, tenure cases and the smoking policy; recommendation letters from Lynn, individual employment files, application for employment at SSU and search committee material for VPAA, Financial Aid Director, Dean of the School of Business and Management, Affirmative Action Officer, Director of the SSU Foundation, Director of the Institute of Public Affairs and University Librarian and Dean of Instructional Services.

Also included is material from the SSU student, staff and faculty senates. The files are organized under the following topics: Academic Affairs, School of Liberal Arts and Sciences, Business and **Administrative** Services, Admissions, Affirmative Action, Associations Organizations, Colleges and Universities, City Government, County Government and State Government.



Archon Box Inventory

E1/1/15. President's Office, Subject File, 1991-1994

[Overview](#)

[Scope and Contents](#)

[Administrative Information](#)

[Detailed Description](#)

[Box 1](#)

[Box 2](#)

[Box 3](#)

[Box 4](#)

[Box 5](#)

[Box 6](#)

[Box 7](#)

[Box 8](#)

[Box 9](#)

[Box 10](#)

administrative

Search Box List

[Contact us about this
collection](#)

Browse by Box:

[\[Box 1\]](#),

[\[Box 2\]](#),

[\[Box 3\]](#),

[\[Box 4\]](#),

[\[Box 5\]](#),

[\[Box 6\]](#),

[\[Box 7\]](#),

[\[Box 8\]](#),

[\[Box 9\]](#),

[\[Box 10\]](#),

[\[All\]](#)

Box 1

Folder 1: 100 ACADEMIC AFFAIRS - GENERAL, 1993

Folder 2: 101 Vice President Academic Affairs, 1993-94

Folder 3: 101.1 VPAA Search, 1992

Folder 4: 102 Assistant VPAA, 1992-94

Folder 5: 103 Assistant VPAA, 1993-94

Folder 6: 103.1 Executive Assistant VPAA, 1993

Folder 7: 104 Academic Cabinet, 1991-94

Folder 8: 105 Academic Personnel Calendar, 1992-94

Folder 9: 106 Academic Plan, 1993

Folder 10: 107 Academic Plan, 1993

Item 1: Academic Plan Executive Summary

Item 2: Academic Plan

Item 3: Academic Plan Supplemental Volume

Folder 11: 108 Academic Plan, 1994

Folder 12: 109 Academic Programs, 1993

UIS Archives Compact Shelving



Compact Shelving Aisle





UIS Archives Contact

- Tom Wood, UIS Archivist
- 206-6520
- twood1@uis.edu
- <http://library.uis.edu/archives/index.html>

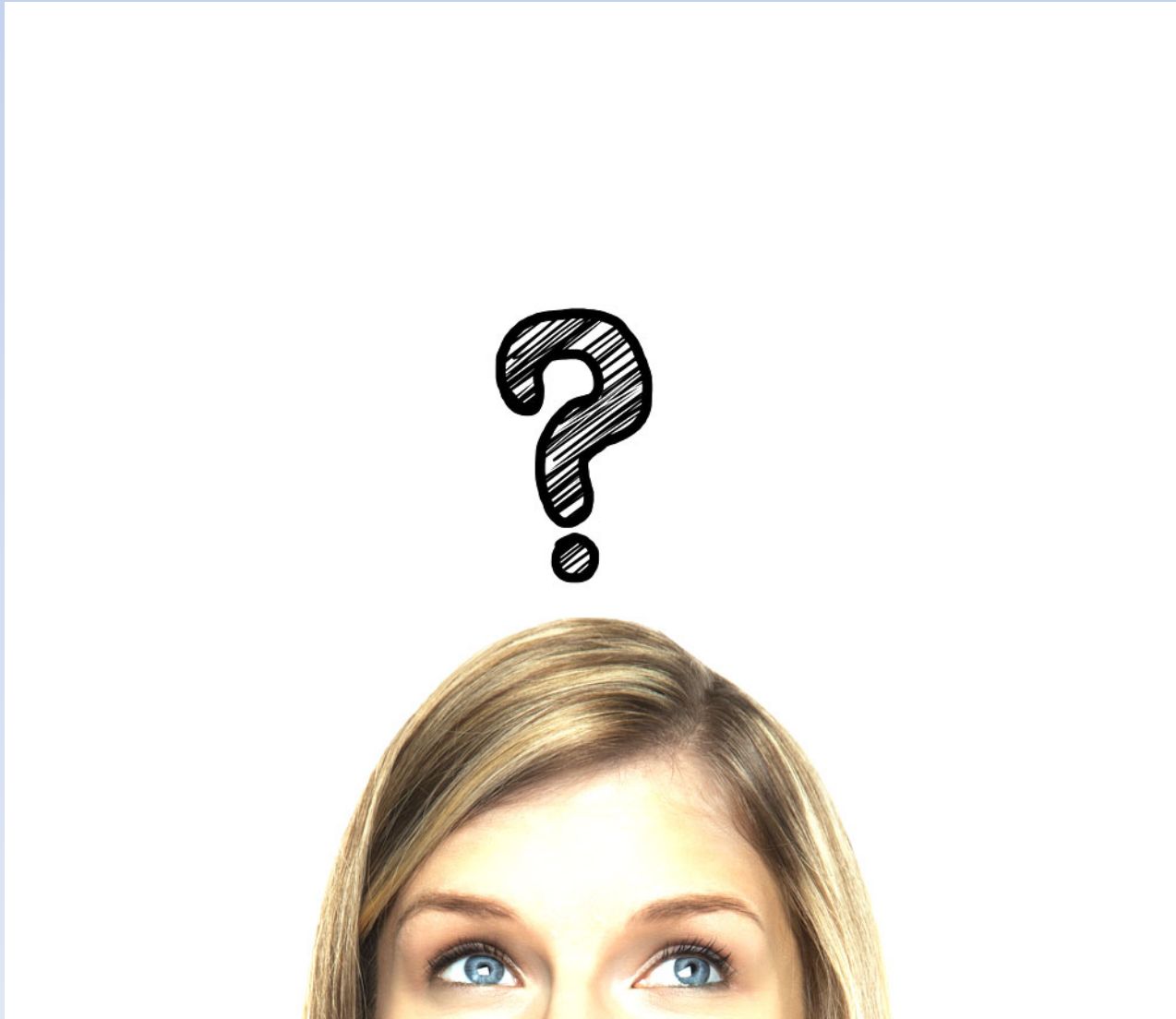


Records & Administrative Data Management Plan

Purpose of this Plan

Provide a general overview of the work and structure of the office or unit for which it was created and information about the current structure and future plans for how records and supporting documents or data used or created by the unit are managed.

Records & Administrative Data Management Plan

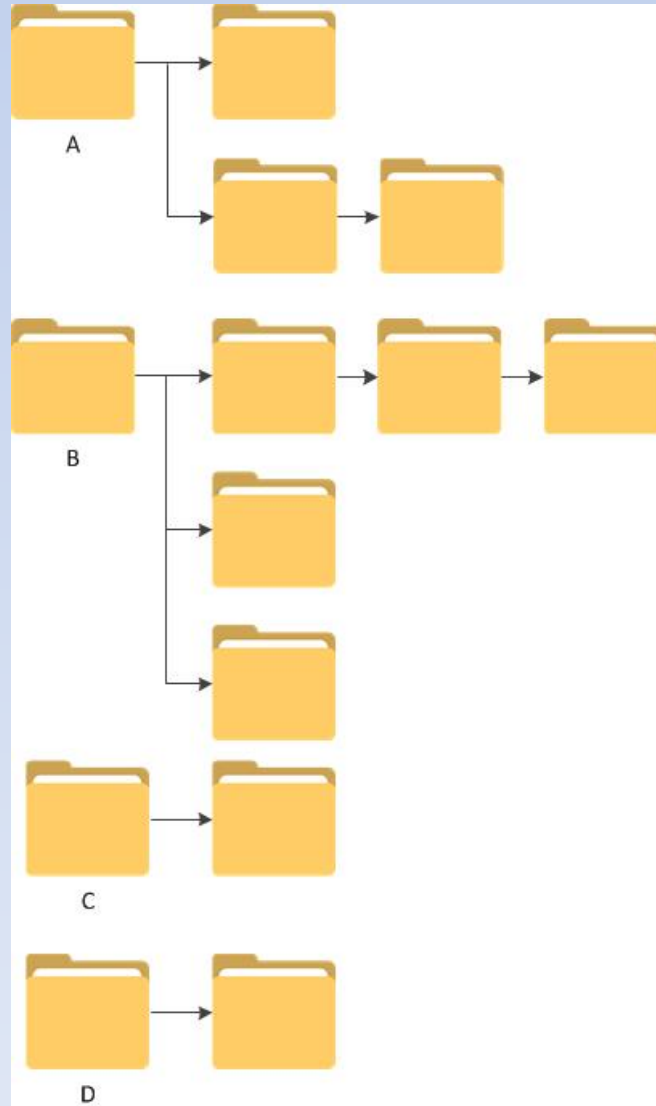


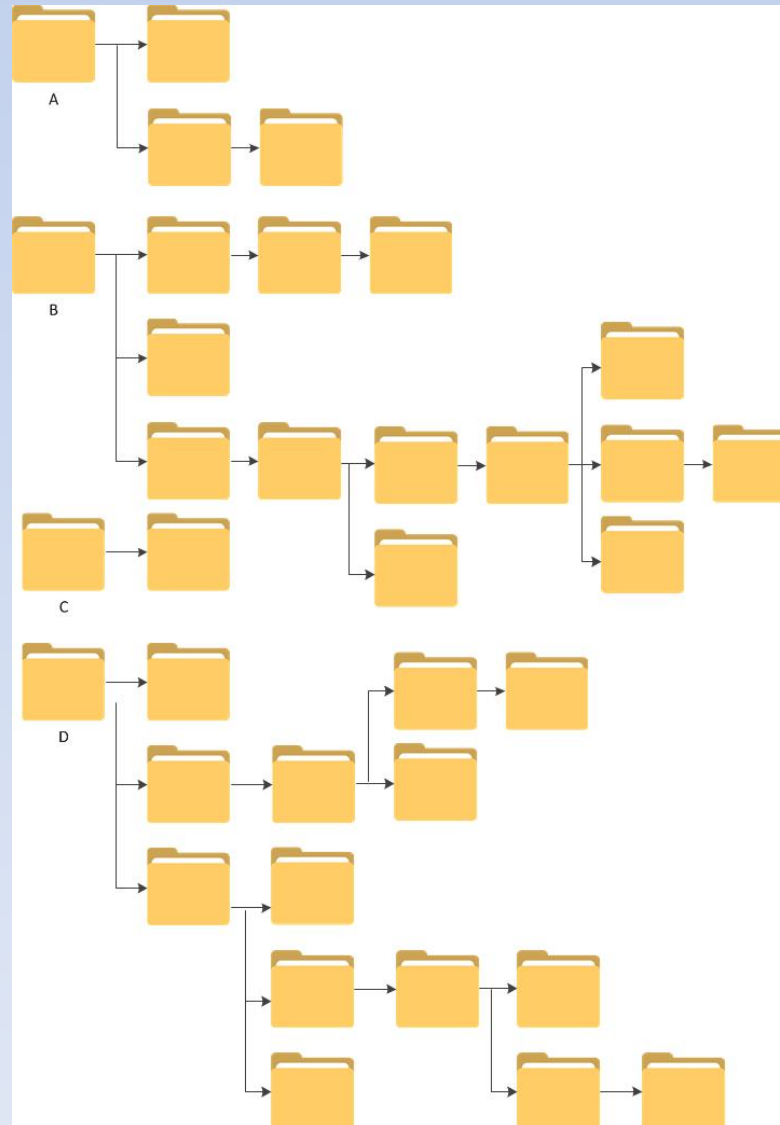
















Records & Administrative Data Management Plan

Create department-level documentation about information assets all in one convenient location.

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RADMan Plan



Records & Administrative Data Management Plan

- Operational Overview
- Business Functions
- Document Overview
- Systems Overview
- Document Scanning (if applicable)
- Disposal Plans
- Contact Information



Records & Administrative Data Management Plan

Operational Overview

- Mission
- Reporting Lines
- Staffing
- Physical Locations (offices & storage)



Records & Administrative Data Management Plan

Business Functions

- Records Policy Development & Establishing Records Best Practices
- Records support & guidance (disposal, use, and storage)
- Records Training and Education



Records & Administrative Data Management Plan

Document Overview

Documents Title	Description	Function/Process	Data Classification (level of sensitivity)	Systems Used	Location	Retention Requirements (Yes/No/Unknown)
Retention Schedules	State Documents listing minimum retention periods for University Records	Assist in proper records retention and disposal	Public	Website/ <u>Sharepoint</u>	RIMS <u>Sharepoint</u>	Permanent until superceded



Records & Administrative Data Management Plan

Systems Overview

- SharePoint
- Box.com
- Banner
- HR Front End
- Hire Touch
- Microsoft Exchange

Records & Administrative Data Management Plan

Document Scanning





Records & Administrative Data Management Plan

Disposal Plans

- University Records
- Business Documents
- Non-Record Documents



Records & Administrative Data Management Plan

Contact Information

- Author of the plan
- Administrators of the systems
- Unit managers



Records & Administrative Data Management Plan

RADMan allows you to create a resource for your department about your documents and information assets using a single form.

- Better understand your processes
- Better manage your documents
- Be audit ready
- Be BCP ready



Workshop Summary

- For any information about University Records contact RIMS.
- Be aware that there are obligations for managing your records and information assets.
- To initiate a request for records disposals and transfers contact RIMS.
- To create a department-level RADMan Plan contact RIMS.



Workshop Summary

For any issues, questions, or concerns regarding records, documents or information assets...

Can you guess what comes next?

Please contact RIMS.

RIMSgroup@uillinois.edu



Questions?