

January 2007

Principles and Practices Governing Managing Records

1. As an Illinois agency, Chicago State University must adhere to the State Records Act.
2. All records created by offices in the course of business on campus are state records; no records may be destroyed without prior authorization by the State Records Commission, coordinated on campus by University Archivist.
3. All types of records offices created are governed by the master records schedules the State Archivist and staff created when they surveyed and inventoried all campus offices.
4. Chicago State's Archives and Records group maintains the master schedules.
5. Schedules are called "applications to dispose of state records" because the principles of records management enshrined in Illinois law and procedures anticipate timely disposal of almost all official records will be entertained. Offices must maintain all records more recent than periods stipulated.
6. When an office signals lack of space or the apparent presence of many older records suggest disposal, it provides a general inventory of those materials for which it will request permission to dispose.
7. The University Archivist, Director of Archives and Records, certifies by inspection the accuracy of the inventory.
8. The University Archivist works with the department to complete an accurate request to dispose of state records property. This request is keyed to records types item numbers in the Application schedule State records staff prepared for that office.
9. The Illinois schedules identify in some cases a few types of records that a department itself or the University Archives must maintain permanently or for unusually lengthy periods. Requests to dispose of such records will not be entertained. During the University's annual audit protocols auditors may ask, or ask to inspect, evidence that permanent records are handled as stipulated and that disposal of permitted records proceeds.

10. Particular Applications to Dispose of State Records and the Request form and offices keys to them intend to be self-explanatory although the University Archives and Records staff work to assure smooth expression of all offices discharge of its responsibilities in this matter.
11. If office's choose to retain records longer than defined periods they are not in violation of state records procedures as they are if they dispose of records without permission, although failure to adhere to schedules inevitably increases institutional risk, encouraging at the least extensive detailed searches by an office's staff in the event of hostile actions. More important for ordinary business, efficiency and confidentiality concerns discourage excessive retention. Offices' also encounter the inherent expense and clutter excessive retention entails.
12. The State Records Commission meets regularly in Springfield to review disposal requests forwarded by state agencies. Offices may expect a returned, signed authorization to dispose of records identified by schedule and item number to reach the University Archives and Records within two weeks of filing after which destruction may proceed. For confidentiality reasons the Commission recommends shredding records, particularly those with personally identifiable information such as duplicate copies of student records (for which the Registrar and the Graduate School are co-repositories for the permanent record) and of professional personnel records, originals maintained by academic Affairs and Human Resources, and employee information, originals maintained by Human Resources. (University Archives and Records maintains shredders that offices' may borrow for the period reserved to implement disposal.)
13. The Disposal Request includes a date by which disposal will occur pending authorization by the State Records Commission. It is a violation of procedure to maintain undisposed records past that date which an office and the University Archives and Records agree mutually to provide the Commission when the Disposal Request is generated.