RECORDS POLICY AND PROCEDURES MANUAL

UNIVERSITY ARCHIVES AND RECORDS PROGRAM

BENTLEY HISTORICAL LIBRARY

UNIVERSITY OF MICHIGAN

January 1993, 1st ed.
September 2002, 2nd ed.

TABLE OF CONTENTS

INTRODUCTION

Colleges and universities are among the most influential of American institutions. It is within educational institutions that much of the examination of ideas and ideals of our evolving culture takes place. Social and technical innovations are often the products of classrooms and laboratories. Modern institutions, including colleges and universities, have acknowledged their responsibility to preserve records that document institutional policies, procedures, and activities. They do this for a variety of administrative, legal, financial, and historical reasons. Records of these activities provide guidance to today's administrators, faculty, staff, and students, and insights for researchers of the future.

The Bentley Historical Library serves as the University of Michigan archives. The Bentley's University Archives and Records Program (UARP) staff administers, preserves, and services the university's records including: records generated by administrative and academic units; records generated by committees, commissions, and governance organizations, both faculty and student; records which document events, athletic and cultural activities, campus organizations, residential units, and other aspects of campus life; and records generated by alumni activities. The archives also collects records of organizations related to the university and selected personal and professional papers of university faculty, staff, students, and alumni.

The UARP staff has prepared this manual to help university units maintain well-organized active files and to anticipate the transfer of appropriate inactive university records to the archives. Questions about the policies and procedures described in this manual should be directed to the University Archives and Records Program, Bentley Historical Library, 1150 Beal, Ann Arbor, Michigan 48109-2113, Telephone: 734 764-3482, Fax: 734 936-1333. An online version of this manual may be viewed at http://www.umich.edu/~bhl/bhl/uarphome/ppmanual.htm.

AUTHORIZATION

POLICY FOR UNIVERSITY ARCHIVES AND RECORDS

I. For the purposes of these policies, "university records" are defined as all records, regardless of their form, prepared, owned, used, in the possession of, or retained by administrators, faculty acting in administrative capacities, and staff of university units in the performance of an official function.

II. Executive officers and staff of central administrative offices, deans, other administrators, and staff of the respective colleges and schools, and departmental, center, institute, library, museum, and program administrators and staff create and maintain university records in the course of their duties. It is the responsibility of the aforementioned administrators and staff, in cooperation with the Bentley Historical Library's University Archives and Records Program (UARP), to ensure that these records are maintained appropriately and that those records that document the history and activities of the university community are transferred to the archives for retention.

III. The retention and disposition of records generated by university units shall be in accordance with procedures outlined in this *Records Policy and Procedures Manual* and in the *Standard Practice Guide*.

IV. University records are public records and once fully processed are generally open to research use. Specific records that contain personally identifiable information will be restricted to protect individual privacy. University records generated by the University's Executive Officers, Deans, Directors and their support offices are restricted for a period of twenty years from their date of accession by the Bentley Historical Library. Restrictions and closures of university records are subject to compliance with applicable laws.

---

* This policy is not to be used in interpreting the University's obligations under the Michigan Freedom of Information Act, the Family Educational Rights and Privacy Act, or any other laws. Questions concerning the application of these laws should be directed to the Office of the General Counsel.

Effective June 1, 1992. Issued by the Office of the Provost and the Office of the Chief Financial Officer as Standard Practice Guide 601.8.

ACCESS POLICIES

University records are public records and once fully processed are generally open to research use. Records that contain personally identifiable information will be restricted in order to protect individual privacy. Certain administrative records are restricted in accordance with university policy as outlined below. The restriction of university records is subject to compliance with applicable laws, including the Freedom of Information Act (FOIA).

Categories of Restricted Records

- **Personnel related records**, including search, review, promotion, and tenure files, are restricted for thirty years from date of creation.

- **Student educational records** are restricted for seventy-five years from date of creation.

- **Patient/client records** are restricted for one-hundred years from date of creation.

- **Executive Officers, Deans and Directors records**
  As of January 1, 2001, university records generated by the university's Executive Officers, Deans, Directors and their support offices are restricted for a period of twenty years from their date of accession by the Bentley Historical Library. The restriction is subject to applicable law, most notably the Freedom of Information Act (FOIA).

For further information on the restriction policy and placing FOIA requests for restricted material, consult the reference archivist at the Bentley Historical Library or the University of Michigan Freedom of Information Office website at: http://www.umich.edu/~urel/foia.html.

IMPLEMENTATION PROCEDURES FOR UNIVERSITY UNITS

IMPLEMENTATION PROCEDURES FOR CENTRAL ADMINISTRATIVE UNITS

STATEMENT

Records documenting the development and implementation of university policy by central administrative offices are necessary to the continuing functioning of the university and to provide an accurate reflection of the activities and achievements of the institution. It is the responsibility of university administrators, in cooperation with the Bentley Historical Library's University Archives and Records Program (UARP), to ensure that records are maintained properly and that those records that document the history and achievements of the university are transferred to the archives for permanent retention.

RESPONSIBILITY OF THE OFFICE GENERATING THE RECORDS

Each central administrative office should designate a staff member to act as records officer.

1. The records officer should maintain regular contact with UARP and should implement the periodic transfer of records to the archives. Appendix 8.2 contains instructions for boxing and transferring paper-based records, printed materials, photographs, and audio-visual media to the archives. Section 5.1 contains guidelines for the managing and transfer or shared archival custody of digital records.

2. Specific record groups that should be transferred to the university archives include:
    a. the central administrative file for the Board of Regents, including agendas and supporting documentation;

    b. the central administrative file for the office of the President, the office of the Provost, and for each vice-presidential and vice-provost office;

    c. the administrative file kept by each assistant or associate in a central administrative office if the records illuminate policy development and implementation;

    d. the central file for each administrative office under the President, Provost, Vice-Provosts, or Vice-Presidents, e.g., Academic Planning & Analysis, General Counsel, if the records illuminate policy development and implementation;

    e. the records of extraordinary committees which were initiated by the unit (see section 4.4 for more information on extraordinary committees);

    f. publications of the unit.

3. Records that should not be transferred to the archives, but which should be discarded when their administrative use is completed include:

  a. duplicate items;

  b. correspondence and administrative files documenting routine activities such as room scheduling, travel logistics, etc.;

  c. non-university printed material received by the unit and retained as a reference file;

  d. documents distributed widely to university units but not generated by the unit;

  e. routine financial records (Refer to Standard Practice Guide section 604.1 for specific information).

4. The records officer for each unit should ensure that files are managed in such a way as to promote the orderly transfer and/or disposal of inactive records. (See Appendix 8.1 for guidelines for the creation and maintenance of active paper records.)

  a. Certain genres of records maintained in central administrative offices may not have long-term historical value, but do need to be maintained in order to satisfy financial or legal requirements. Such records include financial records, grant documentation, and personnel records including affirmative action hiring records. (See sections 5.2, 5.3, and 5.5 of this manual for further information pertaining to these genres of records.)

  b. Certain records such as patient/client records, personnel records, and the student educational record as defined by the Family Educational Rights and Privacy Act (FERPA) have special access regulations both as active records and as inactive records. (See sections 5.4, 5.5, and 5.6 for further information about these genres of records.

5. The records officer should consult with UARP if there are questions about the historical value of specific records.

IMPLEMENTATION PROCEDURES FOR COLLEGES AND SCHOOLS

STATEMENT

Records documenting the development and implementation of university policy by administrative offices of colleges and schools, and by faculty acting in administrative positions, are necessary to the continuing functioning of the university and to provide an accurate reflection of the activities and achievements of the institution. It is the responsibility of administrators of colleges and schools in cooperation with the Bentley Historical Library's University Archives and Records Program (UARP), to ensure that records are maintained properly and that records which document the history and achievements of the college or school are transferred to the archives for permanent retention.

RESPONSIBILITY OF THE OFFICE GENERATING THE RECORDS

Each college and school should designate a staff member to act as records officer for the unit.

1. The records officer should maintain regular contact with UARP and should implement the periodic transfer of records to the archives. Appendix 8.2 contains instructions for boxing and transferring records to the archives.

2. Specific record groups that should be transferred to the university archives include:
    a. the dean's topical file;
    b. the dean's correspondence;
    c. records documenting unit reviews, including accreditation;
    d. executive and other committee minutes;
    e. reports, including annual reports;
    f. fundraising strategy records;
    g. photographs, preferably identified by the unit;
    h. publications of the unit, including newsletters;
    i. audiovisual material.

3. The topical files kept by associate and assistant deans, and the files maintained by committee chairs should be transferred to the archives if the records in their files illuminate policy development and implementation. The UARP staff will review those files and appraise their historical value.

4. Records that should not be transferred to the archives, but which should be discarded when their administrative use is completed include:

   a. duplicate items;

   b. correspondence and administrative files documenting routine activities such as room scheduling, travel logistics, etc.;

   c. non-university printed material received by the unit and retained as a reference file;

   d. documents distributed widely to university units but not generated by the unit;

   e. routine financial records (Refer to Standard Practice Guide section 604.1 for specific information).

5. The records officer should consult with UARP if there are questions about the historical value of specific records.

6. The records officer for each unit should ensure that files are managed in such a way as to promote the orderly transfer and/or disposal of inactive records. (See Appendix 8.1 for guidelines for the creation and maintenance of active paper records.)

   a. Certain genres of records maintained in colleges and schools may not have long-term historical value, but do need to be maintained in order to satisfy financial or legal requirements. Such records include financial records, grant documentation, and personnel records including affirmative action hiring records. (See sections 5.2, 5.3, and 5.5 of this manual for further information pertaining to these genres of records.)

   b. Certain records such as patient/client records, personnel records, and the student educational record as defined by the Family Educational Rights and Privacy Act (FERPA) have special access regulations both as active records and as inactive records. (See sections 5.4, 5.5, and 5.6 for further information about these genres of records.)

IMPLEMENTATION PROCEDURES FOR DEPARTMENTS, INSTITUTES, LIBRARIES, MUSEUMS, CENTERS, AND PROGRAMS

STATEMENT

Records documenting the development and implementation of university policy by unit chairs, directors, staff, and by faculty acting in administrative positions, are necessary to the continuing functioning of the university and to provide an accurate reflection of the activities and achievements of the institution. It is the responsibility of administrators and staff of these units in cooperation with the Bentley Historical Library's University Archives and Records Program (UARP) to ensure that records are maintained properly and that records that document the history and achievements of the units are transferred to the archives for permanent retention.

RESPONSIBILITY OF THE OFFICE GENERATING THE RECORDS

Chairs and directors should designate a staff member to act as records officer for the unit.

1. The records officer should maintain regular contact with UARP and should implement the periodic transfer of records to the archives. (Appendix 8.2 contains instructions for boxing and transferring records to the archives.)

2. Specific record groups that should be transferred to the university archives include:

    a. the chair's or director's topical file and correspondence;

    b. committee records, particularly executive and curriculum committees;

    c. faculty or staff meeting minutes;

    d. documentation of reviews of the unit;

    e. general development files;

    f. reports, including annual reports;

    g. identified photographs;

    h. newsletters and other publications of the unit.

3. Records that should not be transferred to the archives, but which should be discarded when their administrative use is completed include:

   a. duplicate items;

   b. correspondence and administrative files documenting routine activities such as room scheduling, travel logistics, etc.;

   c. non-university printed material received by the unit and retained as a reference file;

   d. documents distributed widely to university units but not generated by the unit;

   e. routine financial records (Refer to Standard Practice Guide section 604.1 for specific information).

4. The records officer should consult with UARP if there are questions about the historical value of specific records.

5. The records officer for each unit should ensure that files are managed in such a way as to promote the orderly transfer and/or disposal of inactive records. (See Appendix 8.1 for guidelines for the creation and maintenance of active paper records.)

   a. Certain genres of records maintained in departments, institutes, libraries, museums, centers, and programs may not have long-term historical value, but do need to be maintained in order to satisfy financial or legal requirements. Such records include financial records, grant documentation, and personnel records including affirmative action hiring records. (See sections 5.2, 5.3, and 5.5 of this manual for further information pertaining to these genres of records.)

   b. Certain records such as patient/client records, personnel records, and the student educational record as defined by the Family Educational Rights and Privacy Act (FERPA) have special access regulations both as active records and as inactive records. (See sections 5.4, 5.5, and 5.6 for further information about these genres of records.)

IMPLEMENTATION PROCEDURES FOR EXTRAORDINARY COMMITTEES

DEFINITION

Extraordinary committees are those committees constituted for a specific task, such as search committees and committees reviewing individuals at executive-level positions. Records of search and personnel-related review committees are official university records.

STATEMENT

Documents created by search and review committees are crucial to understanding the history of the academic and administrative mission of the university. They provide insight into the evaluation of past direction and the future course of units or programs. They are important reference documents for future administrative activities.

The deliberations and correspondence of these committees document frank and candid expressions of scholarly and professional judgments. The illumination of these judgments, which make the records highly sensitive, contribute to their value as historical documentation of the mission of the university.

RESPONSIBILITY OF THE COMMITTEE GENERATING THE RECORDS

1. The activities of extraordinary committees should be documented and the documentation should be transferred by the appointing authority in charge of the committees to the Bentley Historical Library's University Archives and Records Program (UARP) at the completion of the committees' tasks.

2. Chairs of search and review committees are encouraged to invite a member of the University Archives and Records Program staff to meet with the committees at an early stage to discuss the creation, maintenance, archival retention, and disposition of the committees' records.

3. All documents created or assembled by the search committee – one copy only – should be transferred to the archives at the end of the search. The archives will hold the complete record for six years in compliance with affirmative action regulations. At the end of six years the documents will be processed, with retained records added to the archival holdings of the unit conducting the search. Search records are restricted for thirty years from the date of creation.

4. The following records should be transferred to the archives:

   a. mission statement or charge to the committee;

   b. agendas;

   c. minutes;

   d. committee roster;

   e. substantive correspondence;

   f. position descriptions and job postings;

   g. interview questions and selection criteria;

   h. evaluative statements which document the selection process;

   i. short list of candidates as recommended to the hiring authority including candidates' credentials;

   j. reports by the committee, including the final report;

   k. news releases and public statements;

   l. final budget information;

   m. electronic records if used for committee work (See section 5.1 for guidelines on managing and preserving records in digital form).

IMPLEMENTATION PROCEDURES FOR CAMPUS-WIDE ISSUES COMMITTEES

DEFINITION

Records created by committees constituted to research and recommend policy on issues with campus-wide implications are official university records.

STATEMENT

Records documenting the activities of campus-wide issues committees provide understanding of the procedures used in the development of policies adopted by the university community. It is the responsibility of such committees in cooperation with the Bentley Historical Library's University Archives and Records Program (UARP) to ensure that these records are maintained properly and that they are transferred to the archives for permanent retention.

RESPONSIBILITY OF THE COMMITTEE GENERATING THE RECORDS

1. It is the responsibility of the chair to document the work of campus-wide issues committees and to transfer that documentation to the archives at the completion of the committee's work.

2. Chairs are encouraged to invite a member of the University Archives and Records Program staff to meet with the committees at an early stage to discuss the creation, maintenance, archival retention, and disposition of committee records.

3. The following records series should be transferred to the archives:
    a. charge or statement of goals of the committee and committee roster;

    b. agendas and minutes of meetings;

    c. publicity, flyers, meeting announcements, new releases;

    d. substantive correspondence;

    e. transcripts or tapes of hearings;

    f. texts of recommended policies;

    g. reports, including final report.

IMPLEMENTATION PROCEDURES FOR FACULTY AND STUDENT COMMITTEES AND ORGANIZATIONS

STATEMENT

The activities of faculty and student committees and organizations are integral to the university community. It is the responsibility of officially constituted committees (whether they be academic, athletic, governance, or social committees and organizations), in cooperation with the Bentley Historical Library's University Archives and Records Program (UARP), to ensure that their records are maintained properly and that they are transferred to the archives for permanent retention.

RESPONSIBILITY OF THE COMMITTEE GENERATING THE RECORDS

1. Chairs of faculty and student committees and organizations are encouraged to invite a UARP staff member to discuss the creation, maintenance, archival retention, and disposition of records with the committee/organization.

2. Records of such committees and organizations should be transferred to the University Archives and Records Program when they are no longer active records.

3. The following records should be transferred to the archives:
    a. agendas and minutes;

    b. substantive correspondence;

    c. newsletters and other publications;

    d. identified photographs;

    e. news releases;

    f. reports.

IMPLEMENTATION PROCEDURES FOR RECORDS REQUIRING SPECIAL CONSIDERATION

MANAGING AND PRESERVING RECORDS IN DIGITAL FORM

Digital technology is an integral part of the university today, both complementing and supplanting traditional forms of documentation and communication. Digital systems facilitate communication, enable the transaction of university business, and disseminate information to a wide variety of constituencies. Just as with paper-based records, many of the digitally generated records contain important legal, administrative, and historical information. Proper management and preservation of these digital assets is essential to ensure their availability now and in the future. Recognizing the challenges inherent in digital records, the following guidelines and best practice examples are offered by the university archives.[2]

TABLE OF CONTENTS

[2] Note that this section of the Records Policy and Procedures Manual will continue to evolve as technology changes. Also note that the online version of section 5.1 includes examples for each of the best practices and direct links to sources available on the Internet.

MANAGING AND PRESERVING RECORDS IN DIGITAL FORM

GENERAL GUIDELINES FOR THE GENERATING UNIT: MANAGING DIGITAL RECORDS

OVERVIEW

For the purposes of this guideline, digital records are all records, regardless of their digital form, prepared, owned, used, in the possession of, or retained by university administrators, faculty acting in administrative capacities, and staff of university units in the performance of an official function. A number of new technologies create records. Individual records may be created in electronic mail systems, as web-based publications, and as documents created and stored in administrative information systems.

The Benefits of Managing Digital Records

There are a number of benefits associated with the implementation of sound records management practices and procedures for digital records. Some of the benefits include

- fulfilling legal mandates
- facilitating records retrieval
- identifying strategies for the preservation of records
- reducing the costs of storing obsolete records
- ensuring the creation and management of accurate and reliable records.[3]

Maintaining and providing access to digital records over time will be a shared responsibility. Establishing and operating effective recordkeeping systems and good business practices are best achieved through a multidisciplinary approach. University offices should make effective use of the necessary range of expertise available throughout the university. Effective teams would include individuals with expertise in

- archives and records management
- information technology
- data and information management
- business system analysis and design
- auditing and risk management
- law[4]

[3] Standards for an Electronic Records Policy, Committee on Institutional Cooperation University Archivists Group, Section IV. Statement of Benefits. Available at http://www.cic.uiuc.edu/groups/UniversityArchivistsGroup/archive/BestPractice/UniversityArchivistsStandards.pdf (September 2002)

[4] Standards for an Electronic Records Policy, Committee on Institutional Cooperation University Archivists Group, Section V. Statement of Responsibility. Available at http://www.cic.uiuc.edu/groups/UniversityArchivistsGroup/archive/BestPractice/UniversityArchivistsStandards.pdf (September 2002.)

The University Archives staff is available to review systems at the time systems are modified or during the design of new systems. As an aid in developing a digital records policy or guidelines, a document, "Standards for An Electronic Records Policy," created and endorsed by the Committee on Institutional Cooperation University Archivists Group is available at http://www.cic.uiuc.edu/groups/UniversityArchivistsGroup/archive/BestPractice/UniversityArchivistsStandards.pdf (September 2002).

ORGANIZATION OF DIGITAL RECORDS

All records, regardless of format, need to be organized in order to be useful. File cabinets, file folders, and folder labels are all tools to organize paper documents. Similarly, file names, directories and sub-directories are tools to organize digital records. Like the file cabinet, an organized directory structure can present a hierarchy of folders and sub-folders that logically organize files by content, relationships, purpose, and originator. The benefits of good organization include better file retrieval, greater efficiency, and the need for less storage space through the identification and routine purging of non-essential records.

Best Practice

It is recommended that each university unit develop standards for digital directory and file naming conventions. Designing a file structure builds upon the initial outlining of record types and systems.

MAINTENANCE AND LONG-TERM PRESERVATION

To ensure that active digital records are readable for future use it is recommended that a proactive maintenance plan be implemented. The maintenance plan would involve migrating records when operating systems and/or software applications are changed or upgraded. It is best practice to create a documentation trail when files are migrated from one system to another. Documentation should include: systems and software specifications, date of migration, name and job title of person responsible for migration, and description of any loss of information that may occur during the migration process. It is best to create and maintain a documentation file for this type of information. The file can be maintained in a paper or digital filing system as long as it is known where the file is stored.

Best Practice

Adopt a digital preservation plan for records with administrative and long-term historical use. Assign the responsibility of data migration, system upgrades, and refreshing to a specific business area or individuals.

DIGITAL STORAGE MEDIA

Digital records are best maintained in a managed environment that includes regular system back-ups and a disaster recovery plan. Digital records can be stored on-line, near-line, or off-line.

A good example of an on-line system is an electronic mail system. The downside to managing records overtime on-line can be the accumulation of records and the associated cost. This type of storage does afford immediate access and retrieval however, sharing records within a unit or work group can be problematic.

Examples of near-line storage include document management systems and electronic recordkeeping systems. A key benefit to using an electronic recordkeeping system is that these types of systems can provide a secure environment for documents with administrative and historical value.

For digital records that are stored off-line, the best storage media include magnetic tape and CD-ROM (Compact Disc-Read Only Memory). While this type of storage may be most familiar, this type of storage does require a certain amount of monitoring to guard against environmental degradation and changes in technology that will cause the information to be unreadable.

Recommended minimal storage conditions include:

- Temperature between 60 - 65° F
- Relative humidity 40%
- Low light levels
- Absence of magnetic fields

Externally label the off-line media with a brief description of the content, software applications and versions used, date range of files, and date the content was transferred to the medium. It is also recommended that an internal label such as an ASCII "read me" text file be included in case the external label becomes separated from the media. *Knowing which software applications and versions were used to create the digital records is a key element in insuring the readability and usability of the records over time.*

In addition, digital records stored on physical media should be periodically refreshed to new media. It is recommended that digital media be refreshed every 3-5 years.

TRANSFERRING DIGITAL RECORDS TO THE UNIVERSITY ARCHIVES

In some cases, digital records are best retained within the environment in which they were created. Please contact the University Archives staff to determine whether this type of ongoing custody by the office of origin is advised.

If digital records are transferred to the archives, the transfer can either utilize file transfer protocol (FTP) or digital storage media. To transfer through FTP, contact the university archives staff to make arrangements before transferring the records. To transfer digital records on digital storage media such as CD-ROM, complete and include the transfer form for digital records.

Include the following information with every digital records transfer:

a. Technical documentation [include on transfer form for digital records]
b. ASCII text copy of directory structure and list of files.
c. Internal and/or external label on physical media such as CD-ROMS.

While the preservation of digital records requires new strategies, it is the intentions of the University Archives and Records Program to maintain "born" digital materials digitally with a minimum of information loss over time.

MANAGING AND PRESERVING RECORDS IN DIGITAL FORM

WEB-BASED RECORDS

GUIDELINES FOR WEB-DISSEMINATED RECORDS

The University of Michigan conveys much information and conducts many of its administrative activities via the web. The following guidelines are divided into two categories: design and preservation. The design section covers emerging best practices to aid in making the website usable and understandable in the future.[5] While it is certain that technologies will continue to change, the preservation or the "archiving" process will be more efficient when there is consistency and standardization embedded in the creation of the original web file. The preservation section includes guidelines on two possible models for the capture and maintenance of web-based records.

Best Practice

Each unit should identify and evaluate the types of records created and maintained on its website. Procedures should be established to capture records with administrative and long-term historical value into a secure recordkeeping system.

Design Considerations

The following design elements will better ensure that a web page will maintain the same "look and feel" in the future as it was originally presented.

1. Use standard HTML markup when tagging university webpages. HTML versions 3.2, 4.0, and 4.01 are recommended and are backward compatible with HTML 1.0 and 2.0. For further information on HTML standards see The National Center for Supercomputing Applications (NCSA) HTML Primer. Thinking of changes in web technology, the best practice would actually be to create HTML pages that are XML compliant.

2. Include the name of the unit, date the information was last changed and contact information on each page. A good place for this information is the footer section of each page.

[5] Emerging best practices sources used in the compilation of the web-based records section of this manual include Charles Dollar, *Archival Preservation of Smithsonian Web Resources: Strategies, Principles, and Best Practices,* Report (July 2001) and Charles R. McClure and J. Timothy Sprehe, *Analysis and Development of Model Quality Guidelines for Electronic Records Management on State and Federal Websites*, Research Study funded by National Historic Publications, Final Report (January 1998).

3. In order to preserve the functionality of the original webpage, minimize the dependence on proprietary software applications by using non-proprietary file formats. These formats include: Graphics TIFF and JPEG; Video MPEG. Note that while Adobe Acrobat Portable Document Format (PDF) is a proprietary format, the PDF format seems to be moving towards a de facto standard for digital document distribution especially effective dated materials such as brochures, bulletins, reports, and other publications. *Like with other technology dependent documents, you will want to track the software version used in the creation of PDF documents.*

4. Note that the functionality provided by Java script, plug-ins, third-party search engines, and databases is problematic to preserve overtime.

5. In order to preserve the original navigation within the website, build hypertext links using relative Uniform Resource Location (URL) path addresses rather than absolute path addresses.

6. Use Dublin Core Metadata Elements to aid search and retrieval, and to provide documentation about the website. It is recommended that each unit include some description about the website within the website's main webpage. The description is embedded within the tags of the HTML file and is not visible to the user.

7. Lastly, because a webpage can constantly change--think about how changes will be managed. One model is to systematically upload changes at a specific point in the term.
Another model would be to create an audit trail. Suggested elements for a audit trail or history log are noted in the section on Website Preservation Guidelines for Active Management of Website Content.

GUIDELINES FOR A WEBSITE SNAPSHOT RECORD

The strategy each unit employs in the management of web-based records will depend on the available resources as well as legal and administrative requirements of the unit. For many units, an internal policy and procedure that stipulates an annual "snapshot" of the website may be sufficient.

A website snapshot is a point-in-time capture of the content, presentation, and functionality of the unit's website. A snapshot is not considered a back-up copy of the system; rather, it is a digital record that will be readable on other platforms. As defined by the university archives, a snapshot of the website does not include "non-public" Intranet files, files linked to other university units, files that contain restricted information, or links to content contained on external websites.

Goals of the website snapshot strategy are:

- to create and maintain a digital record that is as full and complete as possible, for a given point in time.
- to create and maintain a record that will continue to be readable and understandable in the future.

1. Determine the best time for the snapshot to be taken during the school year. One consideration will be how changes to the site occur throughout the year.

2. Assign the responsibility to an appropriate department and/or individual.

3. Back up the website before creating the snapshot record.

4. If possible, convert all external links by rerouting them to their original initiation addresses. Insert a message where external links occurred stating that the links have been terminated.

5. It is important to preserve the original directory and file structure. One software application that is effective in preserving the original directory structure is Teleport Pro version 1.29. Information about Teleport Pro is available at online [as of July 2002].

6. Document any functionality of the original website that is lost in creating the snapshot. (e.g. Java scripts, search engine, database, plug-ins).

7. Make two copies of the snapshot record. One as a back-up copy.

8. The "archived" website should be read-only. Once the snapshot is taken, the best scenario is to store the files in a secure recordkeeping system with the associated documentation if maintained online or near-line. If the website record is stored off-line on CD-ROM, there will also need to be steps taken to refresh the digital medium periodically. Also, if a CD-ROM is utilized, it is best practice to use a good quality product manufactured by one of the leading vendors such as Kodak, Verbatim, Maxell, or Sony.

9. Documentation about the snapshot record should be tracked and kept with the files over time (ASCII text file).[6] The types of information most useful to document include:

A. Identification Data
- Department/Unit name
- Original URL
- Main purpose of website
- Date website was created or effective date of coverage
- Date snapshot record was taken
- Name of person who created the snapshot record

B. Software Applications
- Authoring application used in creating the website
- Databases used
- Plug-ins used
- Browser version required to view files
- Other proprietary software used, vendor name, versions

C. Preservation Data
- Date of transfer to recordkeeping system or external medium
- Format of website/pages (e.g. HTML 4.0)
- Number of files and directories
- Maintain ASCII list of files and directories with snapshot documentation.

[6] Based on the work of Charles Dollar, *Archival Preservation of Smithsonian Web Resources: Strategies, Principles, and Best Practices,* (July 2001). Available at http://www.si.edu/archives/archives/dollar%20report.html.

ACTIVE MANAGEMENT OF WEBSITE CONTENT

An annual snapshot record of the website will ensure a "baseline" view of the content and functionality of the website for a particular year. The website, however, will most likely continue to change on a more frequent basis. Each unit should determine whether the annual snapshot serves current and future administrative and historical needs. For sections of content that is thought to need ongoing tracking for administrative purposes, one approach is to capture the changes in a history log file (audit trail). [7] Recommended types of information to be captured as part of a log file include:

- Title or name of posting
- Originating author/office-name
- Hyperlinks in the posting
- Date of initial posting
- Date of last modification
- Date of replacement or withdrawal
- Disposition of posting after replacement. Was posting destroyed? archived? maintained in recordkeeping system?

If this approach is utilized, the log file is considered part of the record series and should be maintained and ultimately transferred to the University Archives with the website records. It is recommended that the log file is maintained as an ASCII (plain text) document.

[7] Charles R. McClure and J. Timothy Sprehe, *Guidelines For Electronic Records Management On State And Federal Agency Websites*, Final Report to National Publications and Research Commission, (January 1998). Available at http://istweb.syr.edu/~mcclure/guidelines.html.

MANAGING AND PRESERVING RECORDS IN DIGITAL FORM

ELECTRONIC MAIL COMMUNICATIONS

Electronic mail systems facilitate communications as well as act as a carrier for the transfer of work documents and reports. However, e-mail systems are usually not recordkeeping systems in and of themselves. Most current systems lack functionality for the convenient identification and transfer of e-mail records to secured filing systems. A number of problems can arise when electronic mail is not managed, resulting in inefficient information retrieval, lack of disk space due to an overabundance of communications, and the loss of significant communications.

Best Practice

Each unit should determine the effect of electronic mail systems on the unit's ability to document the primary activities of the office. While there are no centralized tools developed for the management of university electronic mail, there are steps each unit can implement based on the needs of the office to better insure the retrieval of e-mail records for current administrative use as well as long-term historical purposes.

Overview

Many consider electronic mail a distinct category of records that should be handled differently from other records created in the office. However, electronic mail is essentially a mode of transmission for messages or information. It is a widely used communication system and as we become more comfortable with the technology it is being used to facilitate a wide range of business activities. One of the most difficult aspects of the current electronic mail systems is that the systems are not designed as recordkeeping systems. This means that management of electronic mail is not part of the system design, rather e-mail needs to be managed by understanding what types of records are created using e-mail communication systems. Just as with "traditional" paper records, a good place to start in the management of electronic mail is to develop guidelines on how electronic mail records will be classified, retained, and stored.

Below is an outline of some of the decisions that should be made during the development of guidelines that will aid in the overall management of e-mail.

1. Determine the types of records created using electronic mail systems and determine the retention period required for the records in each category. The retention period is determined by legal, fiscal, historical, and administrative requirements.

2. Investigate the functionality of the e-mail systems that are in use within the unit. Many systems now include features such as filtering that can aid in managing communications.

3. Determine how electronic mail communications will be filed.

Non-transitory electronic mail communications should be filed in a way that will ensure that the communications are easily retrieved. A useful practice is to create a directory structure based on the functions and activities of the office. Developing a set of shared directory names within the office will aid in information retrieval over time.

4. Much of the responsibility for the daily management of electronic mail communications will fall on individual employees. Roles and responsibilities should be clearly defined. The record creator and recipient need to make the decisions regarding the disposition of electronic mail communications.

5. Determine how electronic mail communications will be stored. Records selected for retention can be stored on-line, near-line in a document management system or recordkeeping system[8], or off-line on a physical medium. This decision will be based on the needs of the unit and cost associated with the three storage options.

6. Determine procedures for systems security, back-up, and disaster recovery.

7. Part of managing e-mail includes establishing practices within a unit for the proper use of the e-mail. See E-Mail Etiquette When and How to Communicate Electronically, Information Technology Digest, (Vol. 5, No. 4) < http://www.itd.umich.edu/~doc/Digest/0496/feat04.html> and U-M Guidelines on Chain E-Mail < http://www.umich.edu/~policies/chain-mail.html>.

8. As noted in the overview, this best practice outlines just some of the decisions that will aid in the management of electronic mail. In addition to this best practice, there are related U-M policies and guidelines that should be consulted. See <http://www.umich.edu/~policies/>.

[8]ForeMost Enterprise by TrueArc, Inc. is one example of a record management application. See Phil C. Bantin, Records Management in a Digital World for a complete list.

MANAGING AND PRESERVING RECORDS IN DIGITAL FORM

BIBLIOGRAPHY

A number of sources were used in the compilation of information for managing digital records. The sources of most value include:

Charles Dollar, *Archival Preservation of Smithsonian Web Resources: Strategies, Principles, and Best Practices,* Final Report, (July 2001). Available at http://www.si.edu/archives/archives/dollar%20report.html/.

Gregory S. Hunter, *Preserving Digital Information: A How-To-Do-It Manual*, New York: Neal-Schuman Publishers, (2000).

Charles R. McClure and J. Timothy Sprehe, *Guidelines For Electronic Records Management On State and Federal Agency Websites*, Final Report to National Publications and Research Commission, (January 1998). Available at http://istweb.syr.edu/~mcclure/guidelines.html.

Managing Electronic Mail Guidelines for State of Ohio Executive Agencies, Ohio Electronic Records Subcommittee Report, (2000). Available at http://www.ohiojunction.net/erc/email/emailguidelines.html.

Standards for An Electronic Records Policy, developed by the Committee on Institutional Cooperation University Archivists Group, (endorsed December 2001). Available at <http://www.cic.uiuc.edu/groups/UniversityArchivistsGroup/>.

Organizing Electronic Files, developed by the Records and Forms Division of the State Archives of Michigan, State of Michigan.

Where to Learn More

Electronic Recordkeeping Resources, compiled by Cal Lee, School of Information, University of Michigan (2002). Available at http://www-personal.si.umich.edu/~calz/ermlinks.

Archives and the Public Good : Accountability and Records in Modern Society, edited by Richard J. Cox and David A. Wallace, Westport, Conn. : Quorum Books (2002).

Phil C. Bantin, *Records Management in a Digital World*, Research Bulletin, EDUCAUSE Center for Applied Research, Volume 2002, Issue 16, (August 6, 2002). Available online in the EDUCAUSE Information Resources Library. See http://www.educause.edu/.

Terry Cook, *It's 10 O'Clock: Do You Know Where Your Data Are?* , Technology Review, 98:48-53 (Jan 1995). Available at <http://web.mit.edu/erm/tcook.tr1995.html>.

Hedstrom, Margaret. *Building Record-keeping Systems: Archivists are Not Alone on the Wild Frontier,* Archivaria (1998).

Margaret Hedstrom, *Digital Preservation: A Time Bomb For Digital Libraries*, Computers and the Humanities, 31 no 3:189-202 (1997). Available at http://www.uky.edu/~kiernan/DL/hedstrom.html.

Jeff Rothenberg, *Avoiding Technological Quicksand: Finding a Viable Technical Foundation for Digital Preservation,* (1999). Available at http://www.clir.org/pubs/abstract/pub77.html.

IMPLEMENTATION PROCEDURES FOR FINANCAL RECORDS

STATEMENT

The management of financial records, including supporting documents (such as purchase orders, personnel appointment forms, service unit billing statements, etc.) and summary financial reports, must conform to the retention and disposition guidelines found in the Standard Practice Guide (SPG) section 604.1

RESPONSIBILITY OF THE UNIT GENERATING THE RECORDS

It is the responsibility of the generating unit to follow the SPG in the disposition of financial documentation. Most financial documentation may be disposed of at the conclusion of the appropriate retention period with the exception of summary budget material which should be reviewed by the Bentley Historical Library's University Archives and Records Program (UARP) for possible transfer to the university archives. Units should consult with Financial Operations if they cannot conform to the SPG due to the relocation, downsizing, or discontinuance of the unit.

IMPLEMENTATION PROCEDURES FOR GRANT FILES

STATEMENT

Records of grants from external funding sources are administered through the Division of Research Development and Administration (DRDA) and are maintained in DRDA's central files. A microfilmed copy of the closed files are eventually placed in the archives. Documentation of internal grants, which are not administered through DRDA, should also eventually be placed in the archives.

RESPONSIBILITY OF THE UNITS GENERATING AND ADMINISTERING GRANT RECORDS

1. Documentation of grants should be maintained by the unit administering the grant, such as the Division of Research Development and Administration, the Horace H. Rackham School of Graduate Studies, or the Medical School as long as necessary to satisfy legal, administrative, or fiscal requirements. When those requirements have been fulfilled, grant files should be transferred to the archives by the unit administering the grants. They may be transferred in paper, microform, or digital formats, pending review by the University Archives and Records Program staff.

2. Grant files should include:
   a. the proposal;

   b. the contract documents;

   c. substantive correspondence;

   d. and the final report.

(Refer to the Standard Practice Guide 604.1 for information about financial records related to grants.)

IMPLEMENTATION PROCEDURES FOR PATIENT/CLIENT RECORDS

DEFINITION

Patient/client records are those records created by university units in the course of their interaction with persons who are receiving medical or psychological counseling and treatment and with persons seeking educational or vocational counseling.

STATEMENT

Legislation and judicial rulings have defined patient/client records as protected by an individual's right of privacy which in Michigan is considered to end at death. Privacy is protected by federal law (including the Privacy Act of 1974), by state laws (specific statutes have been written for specific types of records, i.e. adoption records), by the common law as it has been interpreted in the courts, and by the University of Michigan Regents Bylaws (section 11.155).

RESPONSIBILITY OF THE UNIT GENERATING THE RECORDS

It is the responsibility of the generating unit to create, maintain, provide or limit access to, and dispose of patient/client records in accordance with applicable law and university regulations.

RESPONSIBILITY OF THE UNIVERSITY ARCHIVES AND RECORDS PROGRAM

Generally the archives does not accept patient/client records. However, the archives does hold selected patient/client records which are restricted for one-hundred years from the date of creation at which time the individual's right of privacy is presumed to have ceased due to death.

IMPLEMENTATION PROCEDURES FOR PERSONNEL RECORDS

STATEMENT

Records kept by the Faculty and Staff Records Office, the Medical Center Staff Records Office and the custodian of personnel files or records in various departments, schools, colleges or other university offices are university records and are subject to the regulations covering personnel records as found in Regents' Bylaw 14.07 and the Standard Practice Guide section 201.46. The collection, availability, and disclosure of the contents of personnel files are governed by regulations established by the university and by applicable laws.

RESPONSIBILITY OF THE HIRING UNIT

It is the responsibility of the hiring unit to follow the Standard Practice Guide in the collection, maintenance, disclosure, and disposition of personnel records.

RESPONSIBILITY OF THE UNIVERSITY ARCHIVES AND RECORDS PROGRAM

Due to limited space, the archives does not accession or store personnel folders. Selected documents from within personnel files, such as those on faculty and staff who have made significant contributions to their units, may add to the historical documentation of the unit and should be reviewed by the archives before destruction.

IMPLEMENTATION GUIDELINES FOR STUDENT EDUCATIONAL RECORDS

DEFINITION

The federal Family Education Rights and Privacy Act (referred to as FERPA or the Buckley Amendment) defines "educational records" as all records which directly relate to a student and are maintained by the university or by a party acting for the university, with certain limited exceptions. The University of Michigan "Policies on Student Records" (revised periodically and published in the course schedule and online at http://www.umich.edu/~regoff/rights.html), developed in accordance with FERPA, defines student records as "all personally-identifiable student files, recorded in any medium, which are assembled in the execution of official University activities."

STATEMENT

The official student educational record (transcript) is maintained by the registrar's office or by the Medical School. More than fifty other university units create and/or hold documents which are considered to be the student educational record under the definition of FERPA.

FERPA was passed and amended in 1974. FERPA gives individual students and former students the right to inspect, review, and challenge the content of their own educational records, and prohibits the release of "personally identifiable records" without consent, except under limited circumstances. When information is released to a third party, the third party may not further disseminate the information without consent.

FERPA has been interpreted to apply to all student records ever created at an institution and it has been interpreted to apply to student records until the death, or supposed death, of the individual.

RESPONSIBILITY OF THE UNIT GENERATING OR HOLDING STUDENT EDUCATIONAL RECORDS

It is the responsibility of the generating units to maintain and grant or limit access to student records in accordance with university regulations and applicable law for as long as the records have administrative use.

RESPONSIBILITY AND PROCEDURES OF THE UNIVERSITY ARCHIVES AND RECORDS PROGRAM

Because of limited space and the restrictions on access to student records for research purposes, the university archives does not routinely accept student records for archival retention. The University Archives and Records Program will consult with units about the appropriate disposition of their student records.

The University Archives and Records Program may accept student papers if they are judged to have long-term historical value. Research access to these papers will be possible if units obtain written releases. The University Archives and Records Program has developed a transfer agreement and release form for student papers. Copies may be obtained from the UARP website or by calling the UARP staff at 734 764-3482. Access to these materials for administrative or research purposes will only be granted in accordance with university regulations and applicable law.

IMPLEMENTATION GUIDELINES FOR RECORDS CENTER STORAGE

DEFINITION

Records center storage is used for semi-active or inactive records of no permanent historical value which must be retained for a specified number of years to satisfy legal or fiscal requirements, e.g., business and financial records or closed case files. Records center storage is also used for records of historical value which have long-term periods of restriction, e.g., student or personnel folders. Records center storage may be used for records while they are awaiting processing.

STATEMENT

Records in records center storage are not available for research use except by staff of the generating unit or with the written permission of the generating unit. All research use must be in compliance with applicable laws.

RESPONSIBILITY OF THE GENERATING UNIT

Request for records center storage must be made in writing to the University Archives and Records Program (UARP) at the Bentley Historical Library. Records accepted for records storage must be prepared for boxing and boxed by the unit following Bentley Library procedures (see Appendix 8.2). It is the responsibility of the unit to arrange and pay for the transfer of boxed records to the records center.

RESPONSIBILITY OF THE UNIVERSITY ARCHIVES AND RECORDS PROGRAM

1. Space for records center storage administered by the Bentley Library is very limited. Requests for records center storage will be reviewed by UARP based on the long-term historical value of the records and the administrative needs of the unit.

2. The records will be stored in secured storage.

3. The records will not be processed. Access to the records will be through a folder listing prepared by the generating unit.

4. Limited reference service will be offered to the transferring unit for their records in records storage. Records may be loaned back to the transferring unit.

5. Records in the records center will be reviewed periodically to appraise their continued retention. If UARP decides that records should no longer be held in records center storage, UARP will consult with the donating unit about the ultimate disposition of the records.

RESPONSIBILITY AND PROCEDURES OF THE UNIVERSITY ARCHIVES AND RECORDS PROGRAM FOR RECORDS TRANSFERRED TO THE ARCHIVES

1. UARP will assume the responsibility for the processing of records transferred to the archives. Transfer will be governed by the transfer agreement initiated when a record group is established. Processing includes the elimination of items judged to be of insufficient historical value to warrant the cost of long-term retention, and the arrangement and description of the records.

2. UARP will provide maintenance and preservation of historical records in secured stacks.

3. UARP will offer reference service to generating units for their records held by the archives.

4. UARP typically will create finding aids or catalog level description to the units' records. Finding aids are descriptive inventories of a unit's records. The finding aids generally include a history of the unit, a scope and content note, and a box and folder listing of the records. Finding aids enable the reference staff of the Bentley Historical Library to provide more efficient administrative reference and increase the value of the records for research use by students, scholars, and the general public.

APPENDICES

GUIDELINES FOR THE CREATION, MAINTENANCE, AND DISPOSITION OF PAPER RECORDS

THE LIFE CYCLE OF RECORDS: CREATION, ACTIVE USE, INACTIVE USE, AND DISPOSITION

Records are created to communicate information, to document transactions or to fulfill legal requirements. After creation records enter into a period of frequent use, the active life of records. Active records must be filed so that they are accessible. They are usually kept in the office so that they can be easily consulted. After their active life has ended, records may need to be retained because of legal or financial requirements or because they serve as an institutional administrative memory. During this period of inactive life records may be stored outside of the office, perhaps in a records center. Eventually records are no longer needed even occasionally by the offices that created them. At this point records should either be destroyed or, if they have been judged to be of long-term historical value, they should be sent to the archives.

CREATION AND ORGANIZATION OF FILES

1. Arrange files by year; color codes for each year may be helpful.

MAINTENANCE OF FILES

1. Responsibility for maintaining files should be given to one staff member.

2. The staff member responsible for the files should be given adequate time to maintain them. Filing should be done regularly.

3. Staff members should be allowed to remove files only if they use “out cards.” It is preferable to have a single individual do all the refiling.

4. When filing, all paper clips should be removed and replaced with staples. Notations about the placement of documents should be made in the upper right hand corner, a destruction date may be noted if relevant.

5. Think carefully before filing a document. Can it be discarded rather than filed? In general, do not file duplicates.

6. Maintain a folder listing digitally so that it can be easily amended. Keep a printout for each file drawer in the front of the file drawer. When records are boxed for transfer to the archives, send a printout of the folder listing and a disk copy or an electronic file to the archives.

DISPOSITION OF INACTIVE RECORDS

1. Frequency of use and availability of space should help to determine whether records should be retained in the office or transferred to the archives. (See section 5.1 for special considerations regarding records in electronic form.)

2. Arrange to transfer records of historical value to the archives. (See instructions for the boxing and labeling of records in Appendix 8.2)

INSTRUCTIONS FOR BOXING PAPER RECORDS FOR TRANSFER TO THE UNIVERSITY ARCHIVES AND TO THE RECORDS CENTER

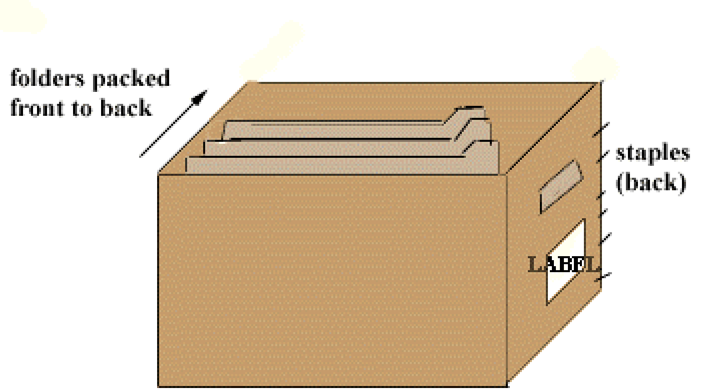
1. Archival boxes are provided free by the Bentley Library. To make boxes, turn upside down and push down. Fold edges of lids at scoring and insert tabs into slots.

2. Records should be put in boxes in the order in which they were kept in filing cabinets.

3. Fill boxes with files as though the files were legal size. Do not fill too tightly. See diagram A.

4. Keeping the box's staples on your right, affix label to short side of the box. List folders in the box. Number labels as filled. See diagram B.

A.



B.

Name of unit

List of records series:
  Correspondence, 1983-1985 (5 folders)
  Calendar, 1983-1985 (5 vols.)
  Topical files, 1983-1985
    A-M (10 folders)

1 Box number

5. A computer-generated folder listing of the records should accompany the boxes.

6. It is the responsibility of the unit to arrange and pay for the moving of ten or more boxes to the archives and for all boxes transferred to records center storage. Two options for transferring boxes are University of Michigan Moving and Trucking (734 764-2487) and Metro Delivery (734 973-0973).

7. If you have additional questions please call the University Archives and Records Program, Bentley Historical Library, at 734 764-3482.

GUIDELINES FOR THE DEPOSIT OF ORAL HISTORY TAPES AND TRANSCRIPTS IN THE BENTLEY HISTORICAL LIBRARY

Oral histories represent a valuable historical resource if they are conducted and documented properly. In order to enhance the research use of oral histories placed at the Bentley Historical Library, the following procedures should be followed:

1. The Bentley Historical Library will not accept oral histories in the absence of a release form signed by the interviewee and a donor form signed by the interviewer.

   By signing the release form and donor form, the interviewee/interviewer: 1) grant researchers physical access to the recordings and/or transcripts, or authorizes restrictions, if any, which limit access; and 2) grant copyright for the recordings/transcripts to the Board of Regents of the University of Michigan or retains copyright. The Bentley Historical Library will furnish the interviewer with release forms.

2. Oral histories should be deposited at the Bentley on audio or video cassette rather than on film or audio reel tapes. Digital formats will also be considered.

3. The interviewer, interviewee, date, and place of interview should be identified both on the carrier/metadata and in the recording itself.

4. An index of topics covered and/or a complete transcription of the interview should be included.

5. Interviewers should test the recording at the beginning of the interview session to assure the audio and/or visual quality of the recording.