

IMSA Records Retention Manual
August 2018

IMSA Records Retention Manual
Table of Contents

General Guidelines.....1

General Timelines.....1

Steps to Inventory Records – General Instructions.....2

Steps to Add an Item to the Records Retention Schedule3

Sample Completed Inventory Worksheet.....4

Steps to Remove an Item from the Records Retention Schedule5

Sample Inventory Worksheet to Remove an Item from the Records Retention Schedule6

Steps to Complete a Records Disposal Certificate7

Sample Disposal Certificate.....8

IMSA Records Retention Manual

August 2018

As a State agency, IMSA must maintain an active records management program to ensure legal preservation and/or disposal of our public records. The Academy's Retention Schedule was most recently updated in 2018. All staff members should have a current copy of IMSA's current retention plan, which is filed with and approved by the State Records Commission.

The Academy must also designate a records officer. Dr. Amber Pareja, Executive Director of the Office of Institutional Research, serves in this capacity.

General Guidelines. Annually, a records inventory should be conducted to determine if changes are necessary to the Academy's Records Retention Schedule. The inventory consists of updating/revising applicable records listed in the Retention Schedule, as well as adding new record items or removing record items no longer collected. Both paper and digital records must be included on the Records Retention Schedule (called the Application for Authority to Dispose of State Records). Typically, few if any changes are required to the Academy's approved Retention Schedule; but it is important to check it each year to ensure it stays up to date.

General Timelines. A records inventory should begin in April to allow adequate time for any necessary revisions and/or requests to destroy documents which need to be sent to the State Records Commission for approval for any necessary actions.

After the Academy receives approval from the State Records Commission, documents which have met their retention period may be destroyed. Various departments at IMSA may wish to share costs to hire a shredding service. Shredding would typically be scheduled for early July.

Note: Copies of documents do not need to be included on the Retention Schedule. For example, purchase orders are housed in the Office of Business and Finance; and copies stored for reference in other departments do not need to be listed.

Laurie Craig, the Administrative Assistant in the Office of Institutional Research (OIR), can assist you if you have questions on records retention or destruction.

In conclusion, an annual review of the Academy's records ensures compliance with legal and regulatory recordkeeping requirements as well as adds value to the daily functions of all staff members at IMSA. Information is organized for retrieval when necessary, and store requirements are minimized. Feel free to contact Laurie Craig, Administrative Assistant in the Office of Institutional Research, if you have questions.

Steps to Inventory Records – General Instructions

1. Read over the items for your area currently listed on the retention schedule.
2. **Determine if new record items need to be added to the existing schedule.** An example would be a major type of document which is now collected/retained to perform your work tasks which was not listed on the existing plan. If so, complete an Inventory Worksheet to add the item. This form may be obtained either from the Administrative Assistant in the OIR or from the IMSA/OIR website. **Refer to the section on adding an item to the Records Retention Schedule.** See page 4 for an example of a completed Inventory Worksheet.
3. **Determine if any existing record item(s) need to be removed from the existing schedule.** For example, an item may no longer be collected/retained. If so, complete an Inventory Worksheet and include an end date for the item. **Refer to the section on removing an item from the Records Retention Schedule.** An example of a completed Inventory Worksheet to remove an item is included on page 6.
4. **Determine if any record series listed on the current plan is still collected but has met its retention period and you wish to request permission to destroy these items. Refer to the section on requesting permission to destroy items which have met their retention period.** An example of a completed Records Disposal Certificate is included on page 8.

Steps to Add an Item to the Records Retention Schedule

1. **On the Inventory Worksheet, you will see the Academy's Application Number of its current Retention Plan Number (18-40). Indicate the current date. Do not specify an Item Number. This will be completed by the Academy's Record Officer.**
2. Indicate a record series title for the item.
3. Indicate the date when the record series was first collected. **Do not provide an ending date since this is a current record.**
4. Determine total volume for the record, as well as provide a "best guess" as to annual accumulation. You may designate volume in cubic feet or megabyte/gigabyte. One box of copy paper equals approximately 1.5 cubic feet. Some items which are collected but have very small volume may be labeled, "negligible."
5. Specify how the record is organized: chronological, alphabetical, numeric, or other. Some items use a combination of organization; such as chronological, then alphabetical by last name. The Number & Size of Files/Documents does not need to be completed.
6. Specify your IMSA Division name. Indicate if there is a Subdivision. An example is Division: Student Affairs; Subdivision: Athletics.
7. Specify the IMSA Representative who supervises this division.
8. Complete a brief description for the record.
9. Recommend a retention period for the record. Check to ensure there are no legal requirements for retention. Some items may be permanently retained because of their value to the Academy.
10. Submit the Inventory Worksheet to the Office of Institutional Research via e-mail to OIR@imsa.edu.

Sample Completed Inventory Worksheet

INVENTORY WORKSHEET

Field Rep: Andrew Spiro

Application No.: 18-40

Date: 1 June 8, 2018

Item Number: 100.04

2	Record Series Title: Audits	Agency: Illinois Mathematics and Science Academy
3	Dates: 1985 -	Division: 6 Office of Business and Finance
4	Volume: 15 Cubic Feet / 4.5 GB	Subdivision: 6
4	Annual Accumulation: 1.5 Cubic Feet / 187.5 MB	Office Location: 1500 Sullivan Road Aurora, IL 60506-1067
5	Arrangement: Chronological	Representative (Name, Title and Phone): 7 Kimberly Corrao Executive Director of Business and Financial Operations 630-907-5081
	Number & Size of Files/Documents; Index or Finding Aids:	Records Officer (Name and Phone): Dr. Amber Pareja 630-907-5069

8

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

This record series consists of audit working files and audit reports that summarize the IMSA implementation of the *"Fiscal Control and Internal Auditing Act"* [30 ILCS 10] and external audits as may be required by the State Auditor General. Contents of these files include but are not limited to the following: draft and final audit reports with supporting work papers, data requests, correspondence, supporting documentation that document appropriate use of funds allocated by the General Assembly or grant funds, and measures of performance and compliance with regulatory mandates.

9

Recommendation:

Retain for seven (7) years after date of generation; then destroy in a secure manner or delete from system provided all audits have been completed, and no litigation is pending or anticipated.

Steps to Remove an Item from the Records Retention Schedule

1. Follow the directions for adding an item to the Schedule, inserting/copying information from the current Records Schedule.
2. Provide an end date for the item. For example, if an item was collected from 2000 until 2017 but is no longer collected, indicate the dates as 2000-2017. All other information on the Inventory Worksheet remains the same.
3. Submit the completed Inventory Worksheet to the Office of Institutional Research via e-mail at OIR@imsa.edu.

**Sample Inventory Worksheet to Remove an Item from the
Records Retention Schedule**

INVENTORY WORKSHEET

Field Rep: Andrew Spiro

Application No.: 18-40

Date: June 8, 2018

Item Number: 670.03

Record Series Title: Student Health Care Service Daily Log	Agency: Illinois Mathematics and Science Academy
Dates: <u>1986-2014</u> 2	Division: Student Life
Volume: <u>1.5</u> Cubic Feet	Subdivision: Health Care Services
Annual Accumulation: Negligible	Office Location: 1500 Sullivan Road Aurora, IL 60506-1067
Arrangement: Chronological by year, then alphabetical by Student Name	Representative (Name, Title and Phone): Katherine Berger Executive Director of Student Affairs 630-907-5962
Number & Size of Files/Documents, Index or Finding Aids:	Records Officer (Name and Phone): Dr. Amber Pareja 630-907-5069

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

This record series consists of a list of who visited the Health Care Office. It shows the name of the patient, time of visit, condition of the patient, and action taken.

This information is now collected electronically and stored in the Permanent Student Health and Medical History Records.

Recommendation:

Retain for three (3) years from date of visit; then destroy in a secure manner or delete from system provided all audits have been completed, and no litigation is pending or anticipated.

Steps to Complete a Records Disposal Certificate when an item is still collected but it has met its retention period and you wish to request permission to destroy these items

1. At least 30 days prior to disposal of any records, complete a Records Disposal Certificate. This form may be found at https://www.cyberdriveillinois.com/publications/pdf_publications/ard66.pdf. A link to the Records Disposal Certificate is also provided on the OIR website under Records Retention. A copy of a completed Records Disposal Certificate is included on page 8.

STATE OF ILLINOIS RECORDS DISPOSAL CERTIFICATE				
Send To: State Records Commission Margaret Cross Norton Building Springfield, Illinois 62756 FAX: (217) 557-1928 For Assistance Call: (217)782-2647 Directions: 1. Fill in all blanks and columns and sign. 2. Send original certificate and a copy to above address 30 days prior to the disposal date. 3. Retain records and one copy of Disposal Certificate until the disposal date and approved copy is returned. Retain approved copy permanently.		APPLICATION #: _____ STATE AGENCY: _____ _____ (Division, Bureau, Section) ADDRESS: _____ _____ (Street, P.O. Box) _____ (City, Zip Code) CONTACT TELEPHONE: _____ CONTACT EMAIL: _____		
ITEM NO. FROM APPLICATION	RECORD SERIES TITLE	INCLUSIVE DATES	VOLUME OF RECORDS (Cu. Ft. or MB/GB)	METHOD OF DISPOSAL

2. Type the Academy’s Application Number (18-40), County, State Agency Name and Department (For example, IMSA-Business and Finance), Address, Contact Telephone, and Contact Email.
3. The Item Number and Record Series Title can be found on the Records Retention Schedule (Application for Authority to Dispose of State Records).
4. Indicate the Inclusive Dates of documents to be destroyed, and Volume of Records.
5. Date and sign the form, and submit it to the Office of Institutional Research via e-mail at OIR@imsa.edu.

Sample Disposal Certificate

STATE OF ILLINOIS RECORDS DISPOSAL CERTIFICATE	APPLICATION #: <u>2</u>
Send To: State Records Commission Margaret Cross Norton Building Springfield, Illinois 62756 FAX: (217) 567-1926	STATE AGENCY: <u>Illinois Mathematics and Science Academy</u> <u>Academy Nurse</u> (Division, Bureau, Section)
For Assistance Call: (217)782-2647 Directions: 1. Fill in all blanks and columns and sign. 2. Send original certificate and a copy to above address 30 days prior to the disposal date. 3. Retain records and one copy of Disposal Certificate until the disposal date and approved copy is returned. <u>Retain approved copy permanently.</u>	ADDRESS: <u>1500 Sullivan Road</u> (Street, P.O. Box) <u>Aurora, IL 60508</u> (City, Zip Code)
	CONTACT TELEPHONE: <u>630-907-5008</u> CONTACT EMAIL: <u>ajoseph@imsa.edu</u>

ITEM NO. FROM APPLICATION	RECORD SERIES/TITLE	INCLUSIVE DATES	VOLUME OF RECORDS (VOL. PL. or MERGE)	METHOD OF DISPOSAL
<u>3</u> 130.1	Annual Student Health Care Information <u>4</u>	6/2012-6/2014 ✓	1.9	shred
130.4	Daily Log Sheets	8/2012-6/2014 ✓	0.2	shred
130.5	Annual Student Health Care Information: Assessment Forms	8/2012-8/2014 ✓	0.8	shred

RECEIVED
 SEP 11 2017
 State Records Commission

If any of the above permanent records are microfilmed, I hereby certify that they have been reproduced in compliance with standards given in Section 4400.50 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 <u>October 15, 2017</u> Date
If the above permanent records are digitized, I certify that they have been reproduced in compliance with standards given in Section 4400.70 and will be maintained in compliance with standards given in Section 4400.80 of the Regulations of the State Records Commission.	Signature <u>Anne Joseph</u> <u>9/11/2017</u> Date
	Anne Joseph Print name and title on line above
(Signature required only if records are scheduled for permanent retention and have not been microfilmed or digitized)	Approved: <u>DilA Jr</u> <u>7/12/19</u> Date