

# Document Management and Retention Policies at Indiana University - Bloomington

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## Introduction

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For my internship, I worked with University Information Technology Services through the Indiana University Office of Sustainability to gather information on document management and paper reduction policies and practices on the Bloomington campus. I met with faculty from administrative offices and departments within schools to assess what types documents they were keeping, in what format, for how long and for what reason. In this report I will analyze my findings, search for discrepancies and improvement opportunities and make recommendations.

## Purpose

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The purpose of this study was to search for improvement opportunities with document management and paper reduction in the departments on campus. My goals were to determine if policies existed and if so, if they were working. Indiana University generates a large amount of paper, so there are many improvement opportunities.

## Problem

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As resources grow increasingly scarce, methods by which to reduce our impact will become more and more important. Unnecessary paper production is a major problem and source of resource depletion. With advances in technology, there are a growing amount of opportunities for improvement.

## Methodology

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I initially met with my advisors and discussed what the purpose of my internship would be. After determining that the main goal of the internship would be to determine what management practices the departments are using, we discussed which departments would be most useful with which to meet. My mentors sent an introductory email to the contacts and I then followed up with a list of questions (see Appendix B) I was looking to answer as well as to schedule a meeting. At these meetings, I gathered information on the departments' management practices. The notes from these meetings can be found in Appendix C. I then reviewed the practices at each department and compared them to the official University Retention Schedules (see Appendix A) as well as to each other.

## Interviews

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### University Offices

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### Patterns of Practice

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In general, most offices have the desire to move towards using, generating and retaining less paper. Many are currently reducing and already have reduced the amount of paper they are keeping by scanning documents and shredding the originals. Paper is still being generated and in many cases the originals are kept as a backup. Technology is not fully trusted, which results in hard copies being created and kept. Recently, documents were

archived in microfiche and microfilm. These technologies, though recently used, are now obsolete. Because of this recent large shift, many are worried that this will continue to be a problem as technologies improve even more. The central offices also require other departments and schools to turn in certain documents in hard copy. This is creating additional paper.

### Examples of Positive Practices

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All departments are currently trying to reduce paper consumption in some way.

The Information Policy Office currently keeps most documents on a server and prints out very little. Since faculty who work with the department are very mobile it is more convenient for all documents to be available online to everyone who needs to work on the documents.

Internal Audit keeps the vast majority of documents in digital form. Occasionally it is necessary to print out a document, but everything is stored and created in digital form.

The registrar has recently revamped its entire process and has drastically reduced paper consumption. The figures for these reductions are as follows:

- Elimination of paper class lists and grade rosters (200,000 pages/year)
- Elimination of paper final grade notifications to students (95,000/year)
- Elimination of multi-copy drop/add and grade change forms (70,000/year)
- Elimination of 4-ply official transcript request forms (100,000/year)
- Elimination of paper requests for transcripts mailed in by current/former students (60,000/year)
- Elimination of the printed timetable portion of the Student Academic Information Bulletin (150,000 tabloids/year at 50 pages each)
- Eliminate hard copy printing of the Student Academic Information and Enrollment Bulletin (60 pp. X 150,000/year = 9,000,000 pages)
- Provide option for electronic delivery of Official Transcripts via XML or PDF (up to 130,000 pages/year)
- Convert Course Approval, Change, and Remonstrance process from paper to electronic workflow (undetermined paper savings)
- Develop Course Description submission process through electronic workflow

[The last two projects are sponsored by the Office of the Vice Provost for Undergraduate Education.] *Currently in development/BETA testing*

### Examples of Potential Areas of Improvement

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While departments are making great strides towards limiting resource consumption, there are still improvement opportunities. Many departments print documents to provide a backup in case technology fails. Others print out documents since they prefer to work on paper over on a monitor. Central offices require many documents to be submitted in hard copy. In general, there are many areas in which paper consumption reduction can be attained.

## Documents

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Depending on the department, there is a wide variety of documents being kept both in hard copy and electronically. In general, HR documents including I-9's and tax information are kept in hard copy. They are sent to central administration and kept at the office. Evaluations and personnel files (payroll, etc.) are kept differently depending on the office. Some departments keep hard copy only, some digital only and some keep in both formats. Contracts are generally kept in hard copy because of signatures, but some scan. Financial forms are almost always generated and kept digitally. Occasionally they are printed for other people or to be checked. Admissions information is mixed in the format method. Work orders are almost always digital. Correspondence provides a lot of difficulty since e-mail is difficult to store in a way that everyone has access. For this reason, it is often printed out to keep the "story". Marketing tools are generally in hard copy since they are brochures, fliers, etc. There may be some in email as well. At the registrar, rosters are printed, transcripts requests are not, and the rest is a mix of formats. Often items such as grade changes are printed in order to be checked. Overall, there is a strong mix of digital and paper formats for storage.

## Compliance and Conflicts with University Policies

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Since the official retention schedules need to be updated and there is a general consensus that they are difficult to understand, departments are not following the retention schedules very closely. Many departments are permanently keeping documents in multiple since they are unsure exactly how long these documents need to be kept and how. There were also comments saying that specific departments require "everything" be kept in hard copy and in the offices. This is not true in some situations. Increased communication as well as an updated retention schedule will help alleviate some of these problems.

## Schools

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### Patterns of Practice

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The schools are a leading source of advances in methods. The School of Education has developed software which helps reduce paper which the School of Informatics is moving to using. The Kelley School of Business has brought in vendors in an attempt to find better document management software. Among the schools interviewed, most departments were aiming to reduce paper stored and created.

### *Examples of Positive Practices*

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There are many examples of positive practices within the schools. Informatics is adding two new software packages which will help with student tracking and reduce paper consumption. The School of Education is developing software which will be used in other departments on campus and will help eliminate paper.

### *Examples of Potential Areas of Improvement*

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Some departments are still using paper as the main filing method. One department keeps everything in hard copy while others keep items in both hard copy and

electronically. There is plenty of room for improvement with increased technology and training.

## Documents

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The types of documents kept at each of the schools are fairly similar. HR documents and tax documents are generally kept in hard copy. Copies are sent to central offices and mostly kept at the school as well. Personnel, admissions and student files are a mix of hard copy and digital within and across departments. Practices vary, but there are electronic tracking systems being implemented. Travel causes unnecessary paper consumption since the process is difficult. Budgets are almost always generated and kept electronically. They are occasionally printed out for others or to be more easily read, but are stored and created electronically.

## Compliance and Conflicts with University Policies

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The same problems found in administrative offices can be found in the schools. The retention schedules are difficult to understand and so universities keep everything to make sure they have everything they could need. Improved retention schedules, software and an increase in training will help alleviate these problems.

## Insights

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The idea of moving to relying less on hard copy records is present, there just must be more done for it to become a reality. One immediate result of this initial phase was getting people to begin thinking about their practices and what could improve. A few individuals interviewed didn't seem to have previously thought about how they could move to generating less paper use and the interviews helped plant that seed of thought. Through the vocalization of why they are not storing more electronically, they may have begun to think about what they could do to change these habits.

Distrust of technology and a general misunderstanding of current technologies are major issues. Since formats and technology changes as rapidly as they do, many are worried that they will lose documents if kept solely in digital form. Training can solve these problems. If individuals have a better understanding of technology and what they can do to protect their documents, they may be more willing to use the software available.

There are plenty of available opportunities to reduce paper consumption on campus and through research and training they can be realized.

## Challenges

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The following are the reasons given when asked what barriers individuals see to relying less on paper:

- Upgrading – Digital storage is changing. If documents are not upgraded as formats and software changes, they have the potential to be lost since they will not be readable.

- Security – Server security can be compromised through digital and physical means. Indiana University deals with sensitive materials including bank account numbers, social security numbers and other information. Document security is an important topic.
- Resources – Many departments said that they would prefer to keep and generate all of their documents in hard copy, but the resources available do not allow for this. Time is a major concern since it is needed for the creation of new software as well as any scanning that needs to be done. New software and storing of past documents require money for development and for manpower.
- Central policy – Since departments have the motivation to follow university policies, creating central policies on document retention and paper reduction would have a strong effect. Such policies would also provide guidance on best practices. The University Retention Schedules provide some of this, but must be updated and improved to fully realize the potential.
- Quality assurance – This mainly is associated with the scanning of old documents. Scanning has room for human error and thus needs to be checked on occasion. This leads to additional resources being spent to audit the process. Many departments do not have resources available for this process.
- Software – Issues and needs associated with software:
  - Programs which help with scanning and uploading of documents will lead to additional use of this option.
  - As formats change, documents must be updated to ensure that they will be available in the future. There is software available for this purpose, but it is costly.
  - Current technology can be sluggish especially with uploading and scanning. Software with increased speed would reduce resources needed for this process.
  - Cross-platform – Functional on different systems (Linux, PC, Mac),
  - OnCourse and OneStart can be difficult,
- Training – Many individuals who perpetuate the use of paper do so since they have difficulty using current technologies. If faculty are taught to properly index and search for documents, they will be more willing to use digital modes of storage. This will also help with quality assurance.
- Emails – Emails are often an important part of an issue or admissions process. It is necessary for them to be kept with documents, but individuals may leave or the emails can be deleted. There needs to be an easy way to store and find email. Many mention that they print these out so that they can be accessed by several people and can still be accessed once they leave.
- “Story” – A common reason for hard copy storage is that it is “easier to see the story”. If you can see everything that goes with an event, occurrence, etc. it is easier to understand what all occurred. This ties into software and training since advances in both will ensure that all relevant materials are kept together.
- Unsure what needs to be kept, for how long, where – When departments are unsure of procedures, they tend to print and keep everything so that they are

protected in case anything goes wrong. With an updated central policy, people will be surer of retention schedules.

- Working with outside organizations – Some organizations require documents to be submitted in hard copy. This problem is out of the control of the University.
- Contracts – Signatures require some departments to need contracts to be printed. Digital signature software is available and can be utilized.
- Habit – This will be the most difficult barrier to overcome. People are used to using documents in hard copy and there will be resistance to change. Teaching people how to use technology and how easy it can be will help to overcome this.

## Recommendations

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### Training Programs

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As seen in the barriers, a lack of experience is major reason for excessive paper consumption. People do not trust technology, don't know how to properly store documents, don't know how to index and are unable to search and find documents. They also believe that it is easier and more secure to use hard copies at work. With training, some of these problems can be overcome and there will be a reduction in resource consumption.

The training programs can be integrated into the existing UITS training programs such as STEPS. They can also mirror the STEPS program by offering sessions on a variety of topics at different times throughout the year. There can also be department training sessions where time is set aside for the entire office to learn together. This will make it easier for individuals to attend.

### Forum

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Collaboration across the campus would be extremely beneficial for this problem. Many departments and schools have similar software needs and problems. If the different departments collaborate either financially or with development, they may be able to more easily get the software and help they need. Some departments have better management and reduction practices which they could share with the rest of the campus.

### University Retention Schedules Update

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With the update of the Retention Schedules should come a comprehensive central policy. Many departments listed guidance as a barrier to using electronic formats. Since departments are unsure of exactly what the current retention schedule is, they often keep items in hard copy which results in many documents being kept in multiple across campus. The addition of a training program on retention schedules will also help ensure the policies are being followed.

### Future Research

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Since this is the first step in a move to reduce paper consumption, there are many opportunities for future research. Future interns can research software availability and

best practices. Paper consumption is a problem at every business and there will be companies which have found better ways to manage the problem. Searching out these best practices and finding which can be implemented at the university will help move towards a reduction in paper consumption. There may also be additional software which could help with reducing paper that has not yet been found, especially since new software is being developed constantly. Searching out the best software available would also help with reduction.



Appendix A – Official University Document Management Schedules

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Academic Personnel - Records Schedule (University Archives)

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# Academic Personnel - Records Schedule (University Archives)

Academic Personnel Records

Disposition Schedule

Approved by the Academic Officers Committee (AOC) on January 31, 2003

\*\*Faculty Records

Type of Record	Disposition-Originals	Disposition-Copies
Vita	Permanent: Transfer to Archives	Permanent
Disciplinary Letters and E-Mail	Permanent: Transfer to Archives	Permanent
Faculty Summary Reports	Permanent: Transfer to Archives	2 Years After Separation
Personal and Professional History Form	Permanent: Transfer to Archives	2 Years After Separation
IU News Releases Regarding Faculty Member	Permanent: Transfer to Archives	2 Years After Separation
Personnel Action Forms	Permanent: Transfer to Archives	2 Years After Separation
Appointment and Offer Letters	Permanent: Transfer to Archives	2 Years After Separation
Intent to Recommend Form	Appointment	Permanent: Transfer to Archives
Notice of Terms of Initial Appointment	Permanent: Transfer to Archives	2 Years After Separation
Appointment - Letters of Recommendation	5 Years After Separation	2 Years After Separation
Reappointment Notice	5 Years After Separation	2 Years After Separation
Verification of Receipt of Ph.D. - Transcript	5 Years After Separation	2 Years After Separation
Copies of Salary Letters	5 Years After Separation	2 Years After Separation
Pre-Tenure Review Letter	5 Years After Separation	2 Years After Separation

Sabbatical Leave Letters - Approval letter, Request and Acknowledgement of Report	5 Years After Separation	2 Years After Separation
Sabbatical Reports	5 Years After Separation	2 Years After Separation
Leave of Absence Requests	5 Years After Separation	2 Years After Separation
Research Leave Supplement Letter	5 Years After Separation	2 Years After Separation
Grant Approval Letter	5 Years After Separation	2 Years After Separation
Supplemental Payroll Vouchers - Copies	5 Years After Separation	2 Years After Separation
Retirement Application	5 Years After Separation	2 Years After Separation
Notice of Changes to Biographical Information	5 Years After Separation	2 Years After Separation
Employment Verifications, I 9s	5 Years After Separation	2 Years After Date of Hire

\*\*Adjunct Faculty Files

Type of Record	Disposition - Originals	Disposition - Copies
Vita	Permanent: Transfer to Archives	Permanent
Disciplinary Letters and E-Mails	Permanent: Transfer to Archives	Permanent
Faculty Summary Reports	Permanent: Transfer to Archives	2 Years After Separation
Personal and Professional History Form	Permanent: Transfer to Archives	2 Years After Separation
IU News Releases Regarding Faculty Member	Permanent: Transfer to Archives	2 Years After Separation
Personnel Action Forms	Permanent: Transfer to Archives	2 Years After Separation

\*\*Promotion and Tenure Files

Type of Record	Disposition - Originals	Disposition - Copies
Chairman's Personal Recommendation & Summary Evaluation	Permanent: Transfer to Archives	2 Years After Separation
Departmental Recommendation (Report of Exact Votes or Memos From Colleagues)	Permanent: Transfer to Archives	2 Years After Separation
Candidate's Statement on Teaching, Research and Service	Permanent: Transfer to Archives	2 Years After Separation
Outside Evaluations	Permanent: Transfer to Archives	2 Years After Separation
Letters From Former Students	Permanent: Transfer to Archives	2 Years After Separation
Evaluations by Colleagues Regarding Quality of Teaching, Research & Service	Permanent: Transfer to Archives	2 Years After Separation
Departmental Evaluation of Stature of Journals in Which Publications Appeared	Permanent: Transfer to Archives	2 Years After Separation
Departmental Assessment of the Contributions Made to Co-Authored or Collaborative Work	Permanent: Transfer to Archives	2 Years After Separation
Summary of Service Activities	Permanent: Transfer to Archives	2 Years After Separation
Evaluation by Chair on Quality of Service Activities	Permanent: Transfer to Archives	2 Years After Separation
Campus Committee Recommendation	Permanent: Transfer to Archives	2 Years After Separation
Chancellor or Vice Chancellor Recommendation	Permanent: Transfer to Archives	2 Years After Separation
Copy of List of Referees Supplied by Candidate	Returned to Department	0-1 Years After Decision
Copy of List of Referees Supplied by Chair or Department Committee	Returned to Department	0-1 Years After Decision
List of Courses Taught and Number of Student Enrolled	Returned to Department	0-1 Years After Decision
Copies of Textbooks Written	Returned to Department	0-1 Years After Decision

Evidence of Curricula Development Activities	Returned to Department	0-1 Years After Decision
Evidence of Quality of Teaching	Returned to Department	0-1 Years After Decision
Student Evaluation Forms	Returned to Department	0-1 Years After Decision
Summary of Student Evaluations	Returned to Department	0-1 Years After Decision
Write-ups of Interviews of Students Regarding the Candidate that were Undertaken by the Department	Returned to Department	0-1 Years After Decision
Copies of Publications, Research Papers, Creative Work, and Reviews of Creative Performances and Exhibitions	Returned to Department	0-1 Years After Decision

**\*\*Graduate AI Records**

Type of Record	Disposition - Originals	Disposition - Copies
Appointment Files	7 Years After Date of Hire	2 Years After Date of Hire
Agreement Forms	7 Years After Date of Hire	2 Years After Date of Hire
Contracts	7 Years After Date of Hire	2 Years After Date of Hire
Employment Verifications, I 9s	3 Years After Date of Hire or 1 Year After Separation, Whichever is Later	2 Years After Date of Hire



# Office of the Registrar (University Archives)

Indiana University  
Bloomington Campus  
- Office of the Registrar -

## Document Archive and Retention List

**This document represents a list of record series that were or, in some cases, still are being created by or received at the Office of the Registrar. This schedule was created by administrative staff in the Registrar's Office and provides a true and faithful representation of types of records maintained in the Office of the Registrar and of the designated period of time that the record series are retained.**

DOCUMENT	RETENTION	DATES	DESCRIPTION
<b>AAA</b>			
Address Updates (cards and postal forms)	6 months	Last six months	Postal reply cards; USPS address change notifications. Initiated 1983.
Admission Reports	Permanent Retention on Microfilm	1898 - 1940	
Adult Education Records	Permanent Retention on Microfilm	1917 - 1950	
Advanced Placement Results	Permanent Retention	1967 - 1974	Used to post permanent record notes.
<b>CCC</b>			
Certification - University Division, Binder	10 Years	1984 - 1995	<p>The following listings are included in this report: 15043-CERTMAJR - Majors List of Students certified from UDIV to "upper division" schools ----- 165109-1051 - Students from UDIV Certified to COAS; SPEA; HPER A listing of student certified from UDIV to COAS, SPEA, HPER. A copy is mailed to each of the three schools with a memo. ----- Summary of Statistics of Student Certified from UDIV. Paper report received each semester; 1994 - Present. A summary of stats of student certified from University Division. ----- 437788 - UDIV Certifications - Alpha Listing Paper report received each semester, 1984 - present ----- SS9001LI - BL Certification Update list</p>

			Paper report received each semester, 1984-present Description: Tentative UDIV Certification Update List. Shows SIDN, old class, new class, old section number, new section number, edit message (Section header updated).
Certification - Monitoring Reports	5 years	Last 5 years	Reports of enrollment changes for currently enrolled students. Sent to lenders and state agencies. 1. Automatic record creation (ARC) 2. Office Reference Edit 3. Monitoring Edits 4. Statistics 5. Certification purge
Certification - Report	5 years	Last 5 years	State Student Status Confirmation Reports (SSCR ♦S)
Checklist, Registrar	Permanent Retention	1984 - Present	An alpha listing of students who have been placed on checklist for academic reasons by University Division. Paper report received each semester Students added to Checklist from UDIV. IU Checklist Batch Update Valid Transaction List
Correspondence Study File Name changed to Independent Study File in 1974	Permanent Retention on Microfilm	1922 - 1973	These "old" records were under jurisdiction of the Division of Adult Education. The Registrar ♦s Office became responsible for the correspondence study records in 1922.  The Grade reports are in alpha order by student ♦s last name; also Pass/Fail Option forms and lists.
Correspondence Study - High School Extension Division	Permanent Retention on Microfilm	1925 - 1960	
Correspondence Study Records	Permanent Retention	1922 - 1969 (cardstock) 1912 - 1922 (microfilm)	In alpha order by student ♦s last name. File contains records of students who completed correspondence work, who were not regular IU students, and, therefore, did not have a regular permanent academic record. If student is matriculated, data on the correspondence record was transferred to the regular record. File contains approx. 19,000 records. In May, 1969, the procedure for recording correspondence work was changed; recorded on a "computer permanent record."
<b>DDDD</b>			

Deceased File Note: Deceased File changed to "Alumni & Friends Deceased Lists" in Sept., 1988	Permanent Retention on Microfilm	1973 - Present	Note: This file was filmed with the Permanent Records Statistical File: Sept., 1973-Aug., 1979; it was filmed with the Name Change Letter File Sept., 1980-Aug. 1982.
Degree Lists, BL	Permanent Retention	1960 - 1994	Lists of final graduates submitted by schools.
Degree Lists, BL, Regional	Permanent Retention	1925 - 1946, 1967 - 1979, 1992 - 1994	Paper lists of Tentative & Final Degree Recipients for May, June, Aug. and Dec. of each year (BL and Regional Campuses. Dated by Month & Year.) (NOTE: There were other months as well, for earlier years.)
Degree Candidate List, Tentative (Job: SY0050DG)	Keep most recent year then destroy	Most recent year	In alpha order by student's last name within each month of graduation, within each year.
Degree List, Preliminary (Job: SY0050DG)	Keep most recent year then destroy	Most recent year	Listing of students with Anticipated Degree Data for specified period.
Degree Cards	Permanent Retention on Cardstock	1830-1925	
Degrees Granted by Indiana University in 101 Years, Departmental Study of 17,404 Degrees <u>Document Title:</u> Departmental Study of 17,404 Degrees Granted by Indiana University in 101 Years.	Permanent Retention	1830 - 1930	Number of degrees awarded, listed by department & type of degree, 1886-1930, plus number of degrees awarded before 1886, when majors were not indicated
Diploma Official Signature List-System-wide	Permanent	1930 - Present	
Diploma Transmittal Card File	Permanent Retention on Microfilm	1) Diploma releases for graduation periods 1975-present. 2) Duplicate orders and records of late releases 1974-1985.	Card shows student's name, address, ID, degree earned with month & year; date diploma was mailed, or released and shows if student was on checklist. In alpha order by student's last name within each month /year degree is earned.
Diploma Order Forms - for duplicate diplomas	Destroyed after 5 years.	Last 5 years	Form submitted by student when they wish to request a duplicate diploma. Their names are then added to the Duplicate Diploma Data Base for printing of the Duplicate Diploma Order, which is sent to the diploma vender for producing.
Drop and Add File Note: File name was changed from "Drop & Add" File to: "Schedule Adjustment File -	Permanent Retention on Microfilm	1963 - 1995	File contains all current course updates, including original and corrected grade processing. Beginning in 1985, this file was changed from "current course" updates to schedule adjustment forms.

Part I" First Semester 1995-96			Contains following small forms: Application for Pass/Fail Option Cancellation of Registration Form Change of Section Number Form Final Grade Analysis Form Final Schedule Adjustment Form Reinstatement of Registration Form Status Change Forms Withdrawal From All Subjects Enrolled Form
Drop and Add File - Regional	Permanent Retention on Microfilm	1967 - 1970	Alpha order
EEE			
Enrollment Books	Permanent Retention	1969 - 1987	Alpha A-Z by student's last name, or in Student Identification Number Printed each semester They contained the following information: Hours of Course Credit, Student ID number; name in alpha or ID number, Class Code, School Code, and Campus (covered all campuses)
Enrollment, University	Permanent Retention on Microfiche	1972 - Present	NUMERIC - Univ Enrollment-End of Sem (All Campuses) includes summer sessions. The Registrar receives this microfiche in numeric (SIDN or ID Number) order, each semester, including sum sessions. The following student enrollment information is shown on this fiche: Semester, student's Social Security Number of Identification Number, Name of student, Campus, School, Class, and Total Credit hours. ALPHA - Univ Enrollment-End of Sem (All Campuses) includes summer sessions. The Registrar received this microfiche each semester, including sum sessions. It's in alpha order (A-Z) by student's last name. The following student enrollment information is shown on this fiche: Semester, Credit hours enrolled, Social Security Number or Identification Number, Student Name, Class Code, School Code, and Campus.
Enrollment Cards, Drop & Add File, Perm. Records Grade Changes ♦ East Campus	Permanent Retention on Microfilm	1946 - 1976	Alpha order
Enrollment Reports.	Permanent Retention	1978 - 1993	

Historical, IU			
Enrollment/Financial Aid Audit	Permanent Retention		1992 -1995
<b>G G G</b>			
Grade Change Authorization File	Permanent Retention on Microfilm		1962 - Present
			This file includes the following: Original Grade Change memos from faculty, "CAA." Forms, Xeroxed copies of grade rosters submitted late, Incomplete Grade Memos, Lists of grade changes, and a Miscellaneous file pertaining to grades. In alpha order by student's last name.
Grade Change File, IUPUI	Permanent Retention on Microfilm		1970 - 1977
Grade Ledgers, Corrected, BL	Permanent Retention		1941 - Present
			The grade ledgers are produced after corrected grades and contain all student courses, grades, section numbers and credit hours. The ledgers are organized by campus, then in alpha order by student. Used for recording grade changes. Vol. III, also includes the Indianapolis Campus
Grade Ledgers, Corrected, Regional	Permanent Retention		1969 - 1989
Grade Ledgers, Regional Corrected	Permanent Retention on Microfiche		1986 - Present
Grade Rosters, BL, Final (paper)	Permanent Retention		1860 - Present
			Final grade reports have the following information fields: Semester, Dept., Course Number, Section Number, Course Title, Instructor's name, student information such as Class, School, Student ID. Student's name, semester hours and grade recorded by the instructors.
Grade Rosters, Final Regional	Permanent Retention		1907 - 1979
Grades, Corrected, Final BL	Permanent Retention on Microfiche		1987 - present
			If final grade reports are sent to the Office of the Registrar after the deadline, the student doesn't receive a letter grade (A+ - F). They receive an "NR" grade (not recorded). As grade changes / corrections are received, they are entered on-line. A corrected grade report is produced approximately one month later.
Grade I <input checked="" type="checkbox"/> F Report (BL) (Advance Notification)	Ten years		288-496, binder (2x2) 197 - present, binders (vault)
			Advance notification report of incomplete grades changing to an "F" in one month from the date of report. Paper report. The following listing are included in this report:

			<p>(BL9001IC) - Advance Report for the Historical Academic Objective School.</p> <p>(BL9001IC) - Advance Report of the Current Academic Objective School</p> <p>(BL9003IC) - Advance Exemption Report (the incomplete grade is extended for another year, or the incomplete grade remains on student's record forever due to graduation)</p> <p>(BL9004IC) - Advance Instructor Reports.</p> <p>(BL9005IC) - Advance Student Notification reports, (mailed to students)</p>
Grade I <input checked="" type="checkbox"/> F Document (BL) : (Final Notification)	Permanent Retention	287-496, binder (2x2) 197 - present, binders (vault)	<p>Final Notification report of incomplete grades, which changed to an F one month from the date of the first report (Advance).</p> <p>The following listing are included in this report:</p> <p>(BL9011IC) - Final (subsequent) Report for the Historical Academic Objective School.</p> <p>(BL9012IC) - Final (Subsequent) Report of the Current Academic Objective School.</p> <p>(BL9013IC) - Final (subsequent) Exemption Report (the incomplete grade is extended or exempted due to graduation or death.</p> <p>(BL9014IC) - Final (Subsequent) instructor reports, (mailed to the instructors).</p> <p>(BL9015IC) - Final (Subsequent) Student Notification reports, (mailed to students)</p>
Graduate Credit Transfer Report Forms	Permanent Retention (paper and microfilm)	1965 - Present	<p>These forms provide Graduate Credit Transfer information recorded each year (Sept. 1 - Dec. 31). They are filed in alpha order by student's last name within a year period</p>
Graduates, Official List of & Honors Recipients List (Annual)	Permanent Retention	All Campus 1966-67 thru 1971-72 Bloomington 1972-73 thru 2000-2001 Regional Campuses 1972-73 thru 1998-99	<p>The "Official List of Graduates and Honor Recipients" is produced each year listing graduates and honors for the previous year. This listing is bound into books with cardstock covers and are mailed to schools and department on campus as well as off campus for reference.</p>
Graduates & Degrees	Permanent Retention	1830 - 1930 (list was typed June 1931) 1931-1935 1936-1940 1941-1945 1946-1950	<p>Typed lists (straight alpha by student last name), permanently bound volumes by date ranges.</p>

<b>HHH</b>			
HEGIS Degree Report - BL Campus	Permanent Retention		1936 ♦ 1945, 1979 - Present
Herron Art - Permanent Records	Permanent Retention on Microfilm		1902 - 1967
High School Codes (CEEB)	Permanent Retention on Microfiche Current code list on paper, 6 months		1981-1989 (microfiche) Keep latest paper list only; replaced every six months.
Historicals, Complete	Permanent Retention		1845 - 1965
Historicals, (paper/computer) Splits	Permanent Retention of the paper record.		1965 - 1979
<b>III</b>			
Independent Study Files Consists of Independent Study Course Completion Reports, Grade Reports and Lists. (Before 1974 known as Correspondence Study)	Permanent Retention on Microfilm		1974 - Present
<b>LLL</b>			
Law Certificates Issued by IU School of Law	Permanent Retention		1900 - 1937
Law LL.B. Degrees: given in replacement for Benjamin Harrison Law School, Indiana Law School, Indianapolis College of Law, American Central Law School	Permanent Retention on cardstock		1944-1952 Merged Schools: Indiana Law School, 1894-1944; Benjamin Harrison Law School 1912-1944 includes: Indianapolis College of Law, 1898-1936; American Central Law School, 1911-1936)
<b>MMM</b>			
Matriculation Cards	Permanent Retention on Microfilm		1902 - 1965
Matriculation Cards and Enrollment Cards - IUPUI	Permanent Retention on Microfilm		1915 - 1950
<b>NNN</b>			
Names, Addresses and	Permanent Retention		1830 -1897
			Listed by year

Occupations of the Graduates of IU			
<b>OOO</b>			
Overseas Study Program Grade Document File	Permanent Retention on Microfilm	Overseas Study Registration Cards, 1966 - 1975 Overseas Study Grade Document File: 1966-67; 1972-75	<p>The Overseas Study Grade Document File is in alpha order by student's last name within each semester.</p> <p>The Overseas Study Program Grade Document File contains the following forms:</p> <p>Overseas Study Evaluation Forms: lists of courses transferred from host institution.</p> <p>Pass/Fail Option forms (R543) filed for Overseas Study coursework;</p> <p>Grade Change Memos for Overseas Study coursework.</p> <p>Following Summer, 1975, registration cards for OVST students are merged in with BL campus registration card file for a given semester.</p> <p>Beginning with First Semester 1975-76, OVST study students' coursework was loaded to the Current Course File under an OVST course number.</p>
<b>PPP</b>			
Permanent History Master List (of students) Known as Historical Master List of Students since 1989	Permanent Retention on Microfilm	1972 - Present	<p>An Alpha list of all students on the Permanent History File (1972-1988) / Demographic File (1989 to present).</p> <p>A SIDN/Numeric list of all students on the Permanent History File (1972-1988) / Demographic File (1989 to present)</p> <p>Produced 3 times a year.</p>
Permanent Record Course File - BL	Permanent retention on microfilm.	Part I of the Perm. Record Course File, 1968 - Present Part II of the Perm. Record Course file, 1979 - Present	



# Financial Management Services (University Archives)

## RECORD RETENTION AND DESTRUCTION

Below is a listing of FMS financial documents and their required retention periods. Most of these documents either originate in FMS or reside there after they have been entered into the university financial system.

This listing is compiled:

1. To advise departments of their responsibility for the retention of their financial records.
2. To inform them of the future availability of this information.

Please direct any questions to Sterling George, Director of Operations, Financial Management Services. Phone: (812) 855-6107 E-mail: sgeorge@indiana.edu

### CONTRACT AND GRANT FILES

Source documentation, accounting documents, supporting information, financial and statistical records, and all other records pertinent to a contract or grant must be retained for at least seven fiscal years plus the current fiscal year. This includes transactions that originated on non-Contract and Grant accounts but were later transferred to a Contract and Grant account.

For Contract and Grant payroll related items, the minimum retention period is seven fiscal years + the current fiscal year. **However, some items must be retained for a longer period of time. See the "PAYROLL" section of this document for further restrictions.**

DOCUMENTS	RETENTION PERIOD
Includes proposals submitted by faculty members for grants, original contract agreements from sponsoring agencies, supporting documentation, accounting documents, copies of financial reports, and correspondence.	7 F/Y + Current

### CURRENT ACCOUNTING DOCUMENTS

Often, the original copy of accounting documents are retained in FMS or put in storage until such time as they are filmed or destroyed or both. We are directed by the guidelines set forth by the Commission of Public Records for the State of Indiana. Yearly, we submit a request for destruction to the commission and those items which are approved for destruction are recycled, shredded, or purged. Many of the accounting records have duplicate copies that are retained by departments when submitting the original for entry into the system. These duplicate copies are important records and must be retained by the departments for three fiscal years plus the current fiscal year for Internal Auditing and State Board of Accounts audits.

CURRENT ACCOUNTING DOCUMENTS	ORIGINAL DOCUMENT RETENTION FISCAL YEARS	FILMED/IMAGED/CD	DUPLICATE COPY RETENTION FISCAL YEARS
FIS "Electronic" Documents	Permanent	Archived to Text After 5 F/Y + Current	3 F/Y + Current
"Electronic" DV	Permanent	Imaged	3 F/Y + Current
Auxiliary Financial Reports/Vouchers	7 F/Y + Current	No	3 F/Y + Current

Bursar/Student Refund Checks (Bank One)	Permanent	CD – Fiche/Film Prior to 97	No Copy
Cancelled Checks -Bank One	Permanent	CD	No Copy
Cancelled Checks -Northern Trust	Permanent	CD	No Copy
Cash Receipt Vouchers	7 F/Y + Current	Film	3 F/Y + Current
Invoice Checks -Northern Trust	Check Kept at Bank	CD – Fiche/Film Prior to 11/96	No Copy
Mechanics Laundry Invoices	7 F/Y + Current	Film	No Copy
Monthly Standard Reports	Permanent	IUDSS/FDRS	3 F/Y + Current
Outstanding Check List	7 F/Y + Current	No	No Copy
Paper DV (FM/Check Request)	7 F/Y + Current	Film	3 F/Y + Current
Payroll Checks –NBD	3 F/Y + Current	Film	No Copy
Revolving Fund Checks	7 F/Y + Current	No	No Copy
System Balancing Reports	7 F/Y + Current	No	No Copy
TOPS Purchase Order	7 F/Y + Current	Yes	No Copy
TOPS Vender Invoice	7 F/Y + Current	Yes	No Copy
Voided Checks	7 F/Y + Current	No	No Copy

**PRE-FIS ACCOUNTING DOCUMENTS (PRIOR TO FY 1994)**

PRE-FIS DOCUMENTS	ORIGINAL DOCUMENT RETENTION FISCAL YEARS	FILMED	DUPLICATE COPY RETENTION FISCAL YEARS
Batch Listings	3 F/Y + Current	No	No Copy
Budget Reports	3 F/Y + Current June Permanently	No	3 F/Y + Current
Budget Transfers	3 F/Y + Current	Yes	3 F/Y + Current
Cash Receipt Vouchers	3 F/Y + Current	Yes	3 F/Y + Current
Cash Reports	On Fiche Since 86/87	Film Prior to 86/87	3 F/Y + Current
General Ledger	3 F/Y + Current June Permanently	No	No Copy
Income and Expense Statements	3 F/Y + Current	No	No Copy
Inter-Dept Billings	On Fiche Since 86/87	Film Prior to 86/87	3 F/Y + Current
Intramural Invoices	3 F/Y + Current	Yes	3 F/Y + Current
Journal Vouchers	3 F/Y + Current	Yes	3 F/Y + Current
Statements of Account	On Fiche Since 86/87	Film Prior to 86/87	3 F/Y + Current
Transfer of Funds	3 F/Y + Current	Yes	3 F/Y + Current

**TRAVEL**

DOCUMENTS	ORIGINAL DOCUMENT RETENTION FISCAL YEARS	FILMED/IMAGE D/CD	DUPLICATE COPY RETENTION FISCAL YEARS
In-State/Out-of-State Employee Travel Vouchers	10 F/Y + Current	No	3 F/Y + Current
Non-Employee Travel Reimbursements (A123)	10 F/Y + Current	No	3 F/Y + Current
Travel Authorizations	10 F/Y + Current	No	3 F/Y + Current
Travel Reimbursements	10 F/Y + Current	No	3 F/Y + Current

**PAYROLL DOCUMENTS**

Payroll documents are crucial to the financial reporting of the university and must be kept until all federal and state auditing requirements are met. Some of the basic documents must be kept on microfilm for up to 15 years. This policy statement outlines the general rules governing the retention of these documents. No one is authorized to destroy any documents until written permission is received from FMS. A determination will be made as to the cleared audit time periods before any authorization for destruction will be given.

**For Contract and Grant accounts, payroll items must be retained for a minimum of seven fiscal years plus the current fiscal year. Some of the items listed below have retention periods in excess of this minimum. For Contract and Grant accounts the LONGER of: 1) seven fiscal years plus the current fiscal year or; 2) the period stated below must be followed.**

The following documents are governed by this policy:

DOCUMENT	RETENTION
Certificate of Residence	Destroy 3 years after termination or change in certificate.
Deduction Cards	Destroy after receipt of State Board of Accounts audit report and satisfaction of unsettled charges. Most items are kept 2 years.
Deduction Listing Printout	Destroy after receipt of State Board of Accounts audit report and satisfaction of unsettled charges. Most items are kept 2 years.
Federal Exemption Certificates (W-4)	Destroy 4 years after due date of annual tax return after certificate has become outdated or replaced.
Federal Withholding Statements (W-2/W-2P)	Microfiche.
Financial Control Totals	Destroy after 3 years and after receipt of State Board of Accounts audit report and satisfaction of unsettled charges.
Garnishment File	Destroy 2 years after obligation has been satisfied.
Holding Files	Destroy 3 years after end of fiscal year and after receipt of State Board of Accounts audit report and satisfaction of unsettled charges.
Payroll Check Register	Microfiche.
Payroll Distribution	Destroy after 15 years.
Payroll Vouchers	Microfilm and destroy after receipt of State Board of Accounts audit report and satisfaction of unsettled charges. Destroy microfilm after 15 years.
Perf Quarterly Reports, Wages, and Deductions	Microfiche and destroy after receipt of State Board of Accounts audit report and satisfaction of unsettled charges. Hard copy kept for 1 year.
Quarterly Report	Microfilm and destroy hard copy after 7 years. Destroy microfilm 4 years after filing of final report.
Retirement and Pension Records	Microfilm and destroy paper after 2 years.
State Exemption Certificates (W4-H)	Destroy 4 years after due date of annual tax return.

State/Federal Monthly Withholding Tax Returns	Destroy 4 years after due date of annual tax return.
Tax Correspondence	Destroy after 4 years.
TIAA Monthly Reports	Microfilm and destroy after receipt of State Board of Accounts audit report and satisfaction of unsettled charges.
Time Sheets, Attendance Reports	Destroy time sheets and supplementary documents 3 years after end of fiscal year, subject to Indiana University Counsel's approval.
Time Clock Cards	Destroy 3 years after end of fiscal year, subject to Indiana University Counsel's approval.

Indiana University Office of University Archives and Records Management

Collection Policy

Last Revised on July 12, 2005

### **I. General Statement of Purpose**

The mission of the Indiana University Office of University Archives and Records Management is to manage information resources created by or written about the University in support of administration, teaching, research, and service. To this end, the University Archives assists the University in appraising and managing its records throughout their life cycle; collects, organizes, and preserves records of enduring value in all formats created by administrators, faculty, students and alumni; supports research and teaching by making available and encouraging the use of its collections by the IU community and the public; provides information services which support University administrators in performance of their duties; and promotes knowledge and understanding of the history, programs, and goals of Indiana University.

### **II. Collecting Focus: Guidelines Governing Selection**

#### **A. General Collecting Focus**

The University Archives collects records relating to the history and culture of Indiana University that have long-term, indefinite administrative, legal, fiscal or historical value. The majority of the records collected by the Archives are generated by University administrative units and academic departments and document the process of administering and managing the University. Another prominent but less voluminous source of records collected by the Archives are the records generated by faculty, student and alumni organizations. The Archives also collects records that are about the University and members of the IU community, even if the creator of these documents is not associated with IU. Finally, the Archives collects on a selective basis the personal papers of prominent IU faculty and alumni.

#### **B. Categories of Record Creators**

**Indiana University administrative units and academic departments:** The Archives collects comprehensively and broadly in this area. The goal is to document the creation, development, priorities and activities of every IU administrative unit and academic school, department or research center. The quantity of documentation, however, varies significantly depending on the importance, size and age of the particular unit that is being documented.

**IU-affiliated organizations:** This category includes faculty bodies, student organizations, alumni groups and IU support organizations. The collecting objectives are exactly the same for this area as for administrative units. The Archives collects comprehensively and broadly in this area, but the quantity of documentation varies depending on the characteristics of the unit.

**IU faculty with a distinguished or outstanding record in research and teaching:** The goal is to document the faculty member as a researcher, as a teacher, and as a scholar interacting with professional colleagues. Unlike administrative papers, the Archives collects selectively in the area of faculty papers. In determining whose papers to solicit, Archives staff evaluate: 1) the scholarly, research contributions of the faculty member; faculty members who have achieved "Distinguished Rank" status at IU are obvious choices; other measurements include major awards; quality of publications; election to prestigious societies, such as the National Academy of Sciences and the American Academy of Arts and Sciences; and appointment to prestigious national or international advisory committees; 2) whether a faculty member's papers reflect upon and contribute to the understanding of a particular research strength of IU; and 3) whether the faculty member's papers might more appropriately be deposited in the Lilly Library because his/her papers are concentrated in a research area that is a special collecting focus of the Lilly.

**IU alumni with a distinguished or outstanding record in research or service:** As with faculty papers, the Archives collects selectively in the area of IU alumni papers. In determining whose papers to solicit, Archives staff apply the following criteria: 1) the overall contributions of the alumnus to his profession; alumni who have received major awards in their fields are obvious choices; 2) whether the papers reflect upon the history and culture of IU; for example, a noteworthy professional photographer who has created images of the IU campus and events over time; 3) whether the papers reflect upon and contribute to the understanding of a particular research strength of IU; and 4) whether the alumnus's papers might more appropriately be deposited in the Lilly Library because his/her papers are concentrated in a research area that is a special collecting focus of the Lilly.

### **C. Types of Records Collected**

**Administrative and departmental records:** Includes records documenting the day-to-day activities of the University, but most documents can be grouped into the following categories:

- o **Governance and policy documents:** Constitutions and by-laws, minutes and proceedings, policies and procedures, reports;
- o **Financial records:** primarily summary statements;
- o **Office or administrative files:** Correspondence and memoranda (incoming and outgoing) and subject files concerning projects, activities and functions;
- o **Biographical information:** On IU administrators, faculty, staff, students and alumni;
- o **Architectural drawings:** Includes various architectural renderings, including site plans; drawings of mechanical, structural and electrical systems, and As-Builts.
- o **University publications:** Includes newsletters, journals, brochures, monographs, programs, posters, and announcements issued by all University offices, schools, and departments, as well by faculty, student and alumni organizations.
- o **Digital files or electronic records:** The University Archives takes custody of or

assists offices in managing all the various record types listed above that are ♦ born digital ♦ or that have been reformatted into digital formats.

- o **Photographic material:** Includes prints, negatives, and slides.

Subjects prominently featured include:

- o **People:** Photos of individual faculty, staff, students, and alumni;
- o **Buildings and campus scenes:** Photos of individual buildings and groups of buildings; the collection includes aerial shots and photos of the city of Bloomington; and
- o **Events and groups:** Photos of groups of faculty, staff, students, and alumni participating in various activities including sports, commencement, departments, and organizations.
- o **Audio, videotapes and films:** Includes documentation primarily on University events, particularly athletic activities.

**Faculty and alumni papers:** Papers commonly transferred to the Archives include, but are not limited to, the following materials:

- o **Biographical material:** Resumes, vitae, bibliographies, biographical and autobiographical sketches, chronologies, genealogies, and newspaper clippings;
- o **Correspondence files:** Professional: outgoing and incoming letters relating to all facets of one's academic career, including correspondence with colleagues, publishers, professional organizations and students; personal: letters to and from friends, relatives and business associates;
- o **Diaries, notebooks and appointment calendars;**
- o **Classroom material:** Lecture notes, overheads, slides, syllabi, course outlines, reading lists, examinations, and student papers;
- o **Research files:** Outlines, research designs, raw data, notes, analyses and reports of findings;
- o **Drafts and manuscripts of articles, books, reviews and speeches;**
- o **Published articles and monographs;**
- o **Audiovisual material:** Tapes, videotapes and films documenting personal and professional activities;
- o **Photographs:** Prints, negatives, slides and digital images documenting personal and professional activities.

**D. Chronological Period Documented:** The University Archives collects records primarily from the founding of Indiana University in 1820 to the present.

III. Selection Process for Collecting the Records of Administrative and IU Affiliated Groups and the Papers of IU Faculty and Alumni

A. Records of Administrative and IU Affiliated Groups: Only five to ten percent of the documentation generated by the University has long-term, archival value and are eligible for transfer to the Archives. In determining which records possess this value, the archivist in conjunction with record creators, legal counsel, and auditors reviews and analyzes records to determine which record series have long-term administrative, legal, fiscal/tax or

historical value. Eventually these decisions are codified into written form and are officially approved as Indiana University Retention and Disposal Schedules. These schedules then guide the archivist in the selection of material for inclusion in the archives.

**B. Papers of IU Faculty and Alumni:** As noted above, the Archives collects selectively in this area. Numerous strategies are employed in identifying whose papers to solicit. The most common strategies include targeting IU faculty who have attained "Distinguished Rank" status or who have been recommended by their colleagues and peers, and IU alumni who have had distinguished careers in their chosen profession. Once these lists of potential donors are compiled, a committee comprised of members of the Library Development Office, the Lilly Library, the University Archives and any others whose interests need to be represented review the lists and determine whether to solicit the papers and if so, who will conduct the negotiations and will have custody of the papers. The Archives occasionally will accept unsolicited gifts from faculty and alumni. These gifts typically include records that document life and culture at Indiana University, such as publications, scrapbooks and photographs.

### **C. Selection of Records to be Stored in the Auxiliary Library Facility**

**(ALF):** Eventually, eighty to ninety percent of the total volume of the records in the Archives will be stored in the ALF. Selection of the ten to twenty percent of the records that will remain on-site at the Archives is based primarily on use patterns as derived from user statistics and from the first-hand knowledge of the Archives staff of which record series have been used most often by researchers over the past decade or more. High use record series that will remain on-site in the Archives include the IU Presidents' administrative records, photographs, IU Publication files, Board of Trustees records, and biographical files on IU faculty.

## Appendix B – Questions for Meetings

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### I. Department document policies

1. What are the main types of documents your department works with?
2. Do you already have published document management and retention policies?
3. What are the policies on keeping hard copies of each type of document?
  - a. How long does each type need to be kept in hard copy?
  - b. How many copies must be kept?
  - c. How are the documents managed?
  - d. Are there legal reasons (i.e., State, Federal) for these policies?
4. What are the policies on keeping electronic copies of each type of document?
  - a. How long does each type need to be kept?
  - b. How are the documents managed?
  - c. Are there legal reasons (i.e., Securities and Exchange Commission) for these policies?
5. Are there other reasons that are keeping you from relying on electronic records instead of paper?

### II. Data Steward Questions

- a. Are there any documents that you require the Schools of departments to keep in paper?
- b. Are there documents that you require the Schools to keep and allow them to do so electronically, but no easy way to create the electronic versions?
- c. What would be the main obstacle from getting the departments to almost 100% paper free environment?

### III. School document policies

1. What are the main types of documents your department works with?
2. Do you already have published document management and retention policies?
3. What are the policies on keeping hard copies of each type of document?
  - a. How long does each type need to be kept in hard copy?
  - b. How many copies must be kept?
  - c. How are the documents managed?
  - d. Are there legal reasons (i.e., State, Federal) for these policies?
4. What are the policies on keeping electronic copies of each type of document?
  - a. How long does each type need to be kept?
  - b. How are the documents managed?
  - c. Are there legal reasons (i.e., Securities and Exchange Commission) for these policies?
5. Are there any documents which campus offices (FMS, HR, etc.) require you to submit or keep in hard copy?
6. Are there any documents which your department requires be submitted in hard copy?
7. Are there other reasons that are keeping you from relying on electronic records instead of paper?

University Offices

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*Information Policy Office – Scott Wilson – Interview 1 – December 10, 2010*

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- General Information:
  - Don't keep anything they don't need
  - Very little on paper. Since the department is very mobile, they keep most items digitally to ensure access for many people.
  - Roles University wide
  - Unless there are external requirements to keeping documents, don't keep anything if you don't need.
  - Small offices. About 15 people. This makes it easier to keep documents electronically.
  - The department tells staff that security comes first, sustainability is also incredibly important.
- What are the main types of documents your department works with?
  - HR – Recommend keep certain files (External requirement)
  - Most kept digitally
  - Contract – still digitally
  - Working copies – digital
  - Many people work on different campuses, virtually meeting, have to store digitally so everyone has access
  - Use a wiki for different information
  - OCS
- What are the policies on keeping hard copies of each type of document?
  - No departmental specific policy on hard copy
  - General, no sensitivity- no policy (common sense)
- Are there areas in which you think there could be improvements?
  - Since the office is already keeping most items digitally, Mr. Wilson does not see much room for improvement.
- Are there legal reasons (i.e., Securities and Exchange Commission) for these policies?
  - FERPA
  - DMCA
  - Public University – open records according to Indiana law
    - E-mails
    - Log Data
  - FCC
  - CLIA – Communications Assistance for Law Enforcement Act
    - Law Enforcement since data security is big part of department role
  - VOIP
- Is there anything that could be improved?
  - Department head very “green,” so from a sustainability point, not much.

- There are little things which could improve. Promotional materials are not digital, could improve that maybe.
- Problems to being completely digital:
  - Other ramifications to using digital, population is outpacing ability to save data
  - Digital storage is changing (floppy discs)
  - Upgrading (office 2007)
  - Digital security – access to server digitally and physically

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*Internal Audit – Kevin Keough – Interview 2 – January 13, 2011*

- General Information
  - 10 auditors, 1 director and 2 assistant directors
  - Reports are sent electronically to those who need the information
    - President
    - Board of Trustees
  - They use the Intelligent Infrastructure, electronic work papers, etc. They do their best to have supporting documents electronically as well.
  - Over the last 8 years they have made a major move to going as paperless as possible
- Policies
  - They follow the IU policy for retention of paper work (There is a complete schedule at the following website: <http://www.libraries.iub.edu/index.php?pageId=3147>)
  - Once per year, they delete old electronic work papers
  - Every 5 years, they collect documents and shred them
  - Some documents are sensitive
  - There isn't really a department policy, but new procedures are being instituted as a result of a new director
  - They generally try to have as much as possibly electronically
- Laws
  - The public record law makes many documents publicly available including e-mails
  - Reports are public record so they are not deleted. They are all kept electronically in PDF form.
- Obstacles to going completely paperless
  - Document protection issues
  - Some things you need to keep and be able to access (formatting issues)
  - The main issue is productivity. The internet is full of distractions (ads, etc.). Technology needs to increase productivity, but is not yet completely effective at doing so. Especially when researching.
  - It is difficult to read documents on the computer and be able to reference what is needed, etc. An effective electronic method needs to be introduced.
- Anything you want to see changed?
  - Clarity in policies and standards
  - Policies such as the fact that when you order something (he used the example of a stapler), you must scan the hard copy, keep a copy and sent the hard copy to a central location. Mr. Keough doesn't understand this policy.
- Additional Suggested Contacts

- Phil Batton
  - University Archivist
- Dorothy “Dottie” Frapwell
  - Vice President General Counsel
  - Knows more about Public Records Law

*Faculty Records – Susan McCammon – Interview 3 – January 14, 2011*

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- General Information
  - An official policy was compiled in 2002. Coordination with academic offices committee.
  - Moving to electronic, there is a large sift.
  - Use official university retention schedule. It guides what is needed to be retained and destroyed.
- Types of documents:
  - Contractual (offer with tenure)
  - Created electronically in draft, then printed and signed.
  - Employment verification (I-9) needs to be kept legally. There is an opportunity to move to electronic storage and they are working on it.
  - There are a wide range of documents and multiple data forms which make it difficult to keep everything electronically.
  - Most recruiting is electronic. Recruitment is required to stay on record for a time.
  - Academic tracking is not electronic yet, but hoping to move forward with a feasibility study soon (this is specific to academic).
  - OLA – Online Applicant tracking, not academic. Different here – professional and support staff.
  - Faculty annual reporting system – recently became FAR. This is the basis for salary, tenure, etc. It has a summary of publications and other accomplishments.
- Recruitment
  - Most recruitment in academic departments is highly specialized. Requires more specialization on how to invite. It would be a problem if it were too easy for people to apply. It would overwhelm the staff, and therefore needs to be focused. There will hopefully be a study this year since the School of Business is pushing for this. They brought in a vendor, but the product was not a good fit for the majority. Some schools have developed in house methods.
- Barriers
  - Biggest hurdle – moving in house to enterprise, requires a lot of resources. RICE framework moving from PeopleSoft to KOALI. Limited Resources are the biggest problem.
  - In house methods are sometimes best (EAR). Uniformity is important, but it difficult.
  - Security is a huge problem. People are not allowed to open certain documents. People can initiate documents and then can only open what they initiate. New people cannot access previous documents. This pushes people to print out everything so everyone can see it. Security is important, but needs to be developed. Central offices can see everything, but not lower support staff.

- Positive Practices
  - No other universities have better processes. Indiana has a partial digital process. They try to keep changes from being disruptive.
  - Indiana uses a fraction of resources for development. There is a lot of collaboration which pushes us way ahead of other Big 10 Schools. IU usually has best development (like PeopleSoft).
  - EAR - Business school was eager to try new methods. As of January 2010 it is now mandatory for all schools.

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*Financial Management Services – Sterling George – Interview 4 – January 19, 2011*

- General Information
  - Use official schedule
  - Schedule shorter, few documents, more are electronic.
  - Digital retention time frame: There isn't one yet. Official University Schedule needs to be updated
  - Moving away from paper, but no real policies yet for digital.
- General document information
  - Payroll, tax, general accounting
  - Examples of electronic documents:
    - Payroll, Fair Labor Standards Act, EPTO, timesheets, HRMS PeopleSoft (3 year retention in past)
  - Still have some hard copies (because of when they were created), but they will be gone soon
  - Financial reports are only online now
  - Scanning of W-2, W-9, etc. (tax docs) is now standard.
  - Receipts and such cannot be digital since they are not received digitally. (Office Depot receipts, etc.)
  - Documents are generally kept as long as needed.
  - IRS code is kept for four years.
  - Some invoices are being sent digitally now.
  - Credit Card receipts are kept for 180 days to 2 years.
- Legal reasons for retention
  - Code of Federal Reg. 13. SOX – Seven Years
- Accounts Payable (A/P)
  - FMS scans A/P documents. There is a quarterly audit process for scanning process. If they pass the audit (low error rate), they get rid of the paper. Internal controls are important.
  - A/P is reducing paper. They are consolidating. OnBase is used to upload disbursement vouchers, procurement cards, receipts and statement. Hold onto disbursement vouchers for a year, then can get rid of them.
- Other departments
  - Treasure uses remote capture. Not supposed to make copies of checks. They scan them to banks now. Paper is being reduced, but is still initially created.

- Physical plant wants to begin scanning work orders.
- Maintenance has mms system.
- Improvement Opportunities
  - Tax, payroll, general accounting, CNG can be improved.
  - Not as much is currently being done on the Revenue side. It is more difficult for Revenue to become paperless because of sources such as parking tickets, athletic tickets, etc. Receipts must be kept for seven years legally, not sending to central office but kept at department.
  - There is potential to weave documents into e-docs if there is added security.
- Barriers
  - Need to move to paperless: System of ensuring quality is needed but is hard for other departments because of a lack of resources.
  - Biggest barrier to becoming paperless: applications that assist users in storing. There needs to be an easy uploader. Ways to keep items secure, but they won't necessarily use. Needs to be easy to scan and put in secure location, there are program problems and storage space problems. Not making everyone do the same thing, there needs to be continuity. Analysis of revenue streams needs to be done to see if it makes sense to attach receipts to cash, security.
- Positive Practices
  - Expense side: Plenty is being scanned. They only keep documents for seven years when not digital. They ask department to keep copies for three years in case of an audit. They are considering eliminating requirement to keep items for three years. People make copies of documents so they can more easily be found. It needs to be easier to find reports online.
- Data Stewards Information
  - Departments shouldn't have tax documents.
  - Departments and schools do need to keep: receipts procurement vouchers, billing.
  - Problems with Document Retention Schedules: Schedule is there, but not operating procedures. Not necessarily what not to do and what is sensitive. There are no real life examples (scenarios). There are training opportunities. There need to be reminders embedded in applications to remind people to index and properly store items.
  - They are going to re-assess the schedules to clearly explain what is needed.
  - It is sometimes difficult to figure out what was sent and was kept, so more copies than needed are kept to insure everything is correct.
  - A new financial system is coming in a couple of years.
- New contacts
  - Melanie Bristo: New scanning procedures
  - Jim Becker: office of Research administration

*Graduate Admissions – David Daleke – Interview 5 – January 26, 2011*

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- General Information
  - Documents are managed through a combination of being scanned in and created electronically.
  - They are converting to using e-docs for forms and other items.

- The department has a goal to move to being electronic.
- Each school is responsible for their documents. Items need to be kept for two years if denied. Longer if admitted.
- Documents Information
  - Application, residency information – Kept for two years if denied. If admitted, the documents are kept beyond two years. Residency can be appealed so needs to be kept.
  - Documentation with student progress through degree completion, fellowships, grants academic and curricular affairs, new degrees and course approval (electronic)
  - Almost all of the documents are electronic.
  - All documents are archived eventually.
  - Most schools use e-docs, but print out for committees.
- Retention Information
  - There are no official lengths of time to keep these documents. As of now, take to warehouse and box. The department pays for warehouse space. There are plenty of items which could be trashed, but they need more people to be able to go through to see what needs to be kept and what doesn't. Ideally would like to move to accessible form (digital) since this information would be great for research.
  - Auxiliary IT group backs up everything for the department. There is no independent backup.
  - International applications – transcripts kept up to 10 years. International relations doesn't want these apps, so they are kept with department. Single copy kept. They must be kept in hard copy. This process is being pushed to be 100% paperless.
- Departmental Practices
  - Problem becoming more paperless – resources
  - Archives – would like to convert, but too expensive, creation of forms and conversion take resources
  - Need technical interface support
  - Curricular moving to electronic – took two years
  - Other than e-docs, keep Access databases.
  - Documents are downloaded centrally to “Compass”
- Barriers
  - Limited resources and e-docs are keys.
  - The cost of electronic conversion is high. They can't do the programming. Scanning is still slow, if in bulk they would hire out.
  - Fast technology needed, new technology needed for easier access.
  - Central policy needed. Cross-platform technology needed (Linux problems). SharePoint is not available on apple and access is also not used on apple. It is unclear how much/what should be stored. **Archives says to keep everything.** More guidance is needed. Development time. Documents supported through IUTS Auxiliary. Benchmarking is SIS, but interface is weak. Other software: Grad tools (Michigan State).

- Using OnCourse to exchange documents works fine but must be remade each time. Not perfectly designed for courses or projects. Customization better. Centralized would be great.
- Security issues are key. Access problems. Access to documents is removed after time and there are other difficulties.
- OneStart is not transparent.
- Access to SIS is difficult
- Online application for undergrad admission: Faculty had problem with e-docs and were taken out of the process
- Training
- Campaigning – contact programs directly, recorder/secretary. Include appropriate staff in dean’s office. Collaboration between department and schools is key.
- Positive Practices
  - Dissertation thesis storage is on scholarworks. Most are online. Moving towards being 100% online. There has been very little resistance to electronically submitting thesis. Two departments against it at first. An external company can print it if needed down the road. Multimedia can easily be incorporated now. (This was a problem at first.) Having a section of Onestart for this would be nice. Draft would be nice to be kept on Onestart to be reviewed. A paper trail would be nice.
  - Master’s thesis now accepted electronically.
  - 85% of domestic applications are electronic.
  - Fellowship office – worked with them to produce Compass

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*University Budget Office – Steve Keucher & Joan Hagen – Interview 6 – February 11, 2011*

- General Information
  - There are no legal requirements known for keeping any documents.
  - The University Budget Office has two sets of “customers”. Campus fiscal offices and university administrative offices.
  - There are guidelines and instruction documents for budgets which are posted on the web.
- Types of documents
  - Budget transactions
    - Kept within financial information system and kept as long as possible
    - Have been kept since the beginning of FIS (organized by document #).
    - Started putting online five years ago. Nothing has been taken off and nothing is anticipated to be taken down.
  - Reports
    - Not kept in paper. Kept on IUIE.
  - July budget
    - A paper copy is sent to archive
  - Salary report
  - Official budget
    - Kept in PDF on the web
    - Several dozen copies are printed and sent to campus libraries, governments, etc.

- Campus leaders receive a shelf copy
- Correspondence related to budget creation is kept. It shows how decisions were made. They are mostly e-mails. They are kept for interest, but not required. Hard copies of “important” transmissions are kept in the office and old years are kept in storage.
- Departmental work papers – don’t send in paper anymore. Few reports are overwritten with each year’s budget. Not sure how long others are kept.
- Salary letters are printed. They are sent via PDF and distributed to the campuses to hand out. Sent to all campuses for faculty, professional staff, clerical, maintenance, and technical
- Biannual appropriations request – in paper because it is required to be submitted as a printed book to state reviewers (also sent digitally.)
- Barriers/Needs
  - Paper is still important since it isn’t easy to access old e-mails digitally.
  - There needs to be a separate place for electronic documents forever.
  - Paper is easier since whole “story” is in a file. Instead of having to search and figure out what happened with each event, it can all be found in the file. There is software available, but people are still getting used to it.
- Improvements
  - Tried to cut down on unnecessary paper probably at same level. Probably documents archivists think should be kept somewhere to show what happened. No university records have been sorted. Everything has been kept in the office or in storage. They currently have a naming taxonomy by issue. Attempt to use same style on all documents to help find things. Keep file name embedded in email so if you find e-mail first, you can easily find the document.

*Facilities – Paul Sullivan – Interview 7 – February 16. 2011*

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- General Information
  - Large amount of data is kept electronic. This is cheap and not a problem so they are keeping everything indefinitely.
- Document Information
  - Contracts
  - Governor Letters
  - Change Directives
  - Invoices
  - Requests for Services
  - They have six or seven main pots of data:
    - Document Management
    - Project Documents – Open to architects and engineers for drawings, specs, etc. Generally electronic
    - Databases for projects
  - Business related documents – Facilities generally doesn’t keep anything official, it is sent to FMS or purchasing. You are officially supposed to keep contracts for seven

years, but they keep everything forever. Both hard copy and electronic documents are kept. Everything has been uploaded during the last six years. People still keep paper copies of documents.

- Many documents are kept in Onbase. There is no official purge system now. There has only been one instance during which a purge has been requested. There will probably be a purge process developed soon.
- There are 2 systems for graphical information – geographic aspects, roads, CAD, etc.
- Retention Information
  - There is no official retention schedule for anything, everything is generally kept forever.
  - The department legally has to keep business documents, contracts, etc. Facilities probably has the official copies of contracts, but everything else is shipped to A/P, FMS, etc.
- Data Stewards
  - Departments are not required to keep anything in hard copy.
  - HR requires some documents to be kept in departments. The data stewards don't require anyone to keep anything, they assume they won't have any documents and keep what is needed.
- Obstacles to being paperless
  - Teaching people to find documents, proper indexing is time consuming. Depending on the type of document, people may not want to spend the necessary time indexing. Software that automatically indexes would make things a lot easier. E-mail is a big problem – it generally isn't centralized, it takes time to index. Generally, people still prefer paper.
  - Major problem to official retention schedules: They are complicated. It is difficult to figure out how long a document needs to be retained since it can be unclear.

#### *University Archives – Phil Bantin – Interview 8 – March 24, 2011*

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- General Information
  - Collect historical documentation, records created by university with indefinite value, historical/cultural importance. Keeps about 5-10% of all paper generated on campus, most paper destroyed after period of time depending on value. Helps determine what has long term value. Retention and disposal schedules to identify kinds of paper records within each office and appraise and assign retention time. Not for all, for the ones they do, approved at high level, is law of the land. Policy statements on faculty council establish archives. Goes back to '30's. Repository for historical records. Doc is what they collect. Records manager and archivist. 17-18,000 linear feet of paper records. Manage digital records as well.
  - 99% of archives is paper.
  - Can reduce paper. Encourage offices not to print, find other solutions. If can get digital, take over paper. Trying to help offices go digital. Part of management objective. Lots of paper with historical value. 4-500 linear feet of paper records/year for now and probably for the next 5-10 years.

- Everything can be digital, nothing must be in hard copy. Selectively scan and sometimes throw out original. Need better technologies because of upgrades, etc. Tell to not make copies, digital. Should be 5-6 till slowdown in paper.
- There is a specific appraisal process. What warrants long term management. Mostly destroy record. Cleaning out of useless docs is part of the job. The auxiliary library storage space is high cost storage and they are trying to have less there.
- Management system – system of identification, go to offices, determine what they create, appraise, schedule created, implemented.
- Most things shredded. Long term value transferred.
- Management transferred here. Web page with list of what they have. There is a reading room since items may not be checked out. Manage long term preservation. All long term, nothing to shred, but will eventually deteriorate.
- Rigorous appraisal, trying to get offices to change. Convert paper to digital on regular systematic, destroying paper. Most things would take too long to transfer. Mainly reducing flow in, not current set. Need centralized system, offices don't know. Keeping duplicates. Can be a liability to keep some items. Multiple departments have copies. Reduce accumulation. Recommendation: Better support. Records management initiative. Training more people to go educate. Education and guidance. Need constant resources. Measures: How much destroyed, what not being created, monitor departments' paper consumption in purchases.
- Keep some Administrative items, but mostly items of historical and cultural value.
- Legal
  - Small amount of records with long term w/ legal reasons to keep.
- Barriers
  - Other things holding back – School slowly beginning to eliminate paper, still creates large amount. Offices doing bot, but this will eventually change. In transition period. IN many cases, doing both currently. Some people still not comfortable with digital, print out a list still. Reluctant and distrust. Many still use paper to preserve. Upgrading is key. There are shadow systems – people don't like the way the current databases display information and create new databases.
  - Automated process to upgrade documents. Migration or conversion.

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*Registrar – Lisa Scully & Bart Quinet – Interview 9 – March 28, 2011*

- Documents Information
  - Student academic course enrollment, demographic information, name changes, add/drop, request for transcripts, faculty, residency classification, immunization.
  - Services – transcript used to be paper, maintained forever by law. Scanned now almost completely 91% of transcript requests now electronic. Some transcripts send in PDF – about 23%. Project to be 35% by late August or early September. Overall, paper greatly reduced. Drop/add used to be paper, almost always electronic. Enrollment Bulletin – used to be 6million pages/year, not completely electronic. Residency audit – validate still eligible, now electronically. No longer collect medical information.
  - Transcript – grade change now electronic.

- Print grade/class roster 4 times/year, now electronic (200,000 pages). Paper grade notification now electronic (95,000 pages. Year). Main way move, faculty entry and grade change. Need to maintain grade change proxy for faculty. This is the main job to maintain a record. Keep track. Historically things were microfiche. Keep everything back through 1883. Microfilm in 40's. Ordered docs to be microfilm in 30s. Now scanned and indexed, kept on in house database. Then destroy docs.
  - Have all rosters (paper). Print off SIS and permanently maintained in vault. Electronic ledger by student. To reconstruct transcript in case. Printing off for new students, ledgers still kept in per for security. Data not good, not codified. Degrees not codified until 80s. No codes until recently. New student and end of term list ledger and kept in vault. There is a retention schedule.
  - Some scanned, some kept 6 months.
  - Print reiteration to check that everything was correct. Department reports for 6 months to see if there are problems.
  - Administrative changes are done alone (moved in last year).
  - If large list, submit through slash temp, then print.
  - Mostly not paper.
  - Most grade change requests are electronic. Paper requests – student new and in special registration (i.e. remote location).
  - Don't create multiple records.
  - Some docs need to be in paper, but less.
- Legal
- Transcript requires are kept because of FERPA. Electronically stored and maintained.
  - Barriers
  - The culture of the registrar is to keep everything. Everything is supposed to be scanned or maintained for two years, but just keep anyways. Organizational standards – AACRAO. International product standards for registrar and administrative records. Pressures to go electronically. AACRAO gives guidance on how to do so and what you can. Retention in other media.
  - Mainly security and resources obstacles to going paperless.
  - Special situations create problems to being all digital.
  - Time is a huge barrier.
- Efforts to Reduce Paper Consumption
- The following paper driven processes have been replaced by electronic processes:
    - Elimination of paper class lists and grade rosters (200,000 pages/year)
    - Elimination of paper final grade notifications to students (95,000/year)
    - Elimination of multi-copy drop/add and grade change forms (70,000/year)
    - Elimination of 4-ply official transcript request forms (100,000/year)
    - Elimination of paper requests for transcripts mailed in by current/former students (60,000/year)
    - Elimination of the printed timetable portion of the Student Academic Information Bulletin (150,000 tabloids/year at 50 pages each)

- Eliminate hard copy printing of the Student Academic Information and Enrollment Bulletin (60 pp. X 150,000/year = 9,000,000 pages)
- Provide option for electronic delivery of Official Transcripts via XML or PDF (up to 130,000 pages/year)
- Convert Course Approval, Change, and Remonstrance process from paper to electronic workflow (undetermined paper savings)
- Develop Course Description submission process through electronic workflow

[The last two projects are sponsored by the Office of the Vice Provost for Undergraduate Education.] *Currently in development/BETA testing*

## Schools

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### *School of Public and Environmental Affairs – Becky Neal – Interview 10 – April 5, 2011*

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- Documents Information
  - IU hiring docs – hourly, non-student and. All original sent to HR Academic Affairs. Tax forms and direct deposit are not kept, send originals.
  - Keep copies of I-9.
  - Hourly apps – originals kept here.
  - **All hard copy.**
  - Nothing Digital – easier to get to person when they walk in. When hiring, send form to send back in. Email forms occasionally, but print and send back.
- Retention Information
  - As long as employed, files kept.
  - Purge fired files every 10 years.
  - Course evaluations – original kept for 7 years, then purge.
- Legal Information
  - I9 have to, rest IU HR policy and academic affairs. Faculty’s promotion and tenure files.
- Hard copies required by other departments
  - Policy forms – use of cell phones, access codes. Agreement policy for process, EPTO.
  - Tax forms must be hard copy for FMS. HR requires I9 and others.
  - Background consent form – send copies to HR.
- Barriers to being paperless
  - Time and Resources. Training. Easier to go straight to file.

### *School of Education*

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#### *Undergraduate – Letha Taylor, Dorothy Slota, Sarah Crandall & Margrethe O’Connor – Interview 11 – April 5, 2011*

- Documents Information
  - Recorder – Academic files for all undergrad – contain info that gets them through program. Also others who are obtaining certification. Anyone with advisor. See if eligible for student teaching, print advising report see if there is anything important.

- Career Services – References confidential and non-confidential. Electronic and paper copies.
- Student Teaching – application folder, field experience info, transcript and transcript release signature form. Evaluation forms from end.
- Cultural Emersion – same type as above. Totally paper.
- Admissions – digitally mostly, then goes to recorder
- Budget - budget and schedules. All budgets kept electronically but many things kept in paper. Travel reimbursement. Supervising students. But keep copies of receipt and all kept hard copy. Keep for year then statement of facts – 5 years. Travel system causing a lot of paper.
- Syllabi now kept digitally.
- Scholarships electronically now.
- Admissions – criminal history
- Drop/Add – system went down and had to be in paper copy. Keep backup copies for this. Much confusion. Because of system failure.
- Retention Information
  - Recorder – Paper files kept in records for 5 years then scanned. Scan important things only (i.e. test scores). Legal paperwork must be kept. Recorded for licenser kept in paper. Paper saves because reference is made. New files now university ID. License needs SSN, then change to U ID.
  - Career Services – Kept 10 years in past before purge. Everything in both electronic and paper copy. Nothing is being purged.
  - Student Teaching – Apps kept last year, this year and next year. Next fall shred transcript, anything with sensitive info toes to special. Electronic scanning of evaluations, student record state. Eventually trying to move to fully electronic.
  - Budget – Save for 5 years, then shred. Armstrong Program.
- Legal Information
  - Recorder – law – test scores, purging now, past test scores to reference, not scanned. State required teachers to have test scores. Many teachers needed copies and copy was here. Can't scan because of time and resources.
- Barriers
  - Budgets – Working on computer difficult, habit
  - Recorder – For historical reference. Time and resources. Goes so far back. Some things on microfiche can't be accessed because there are no longer readers.
  - Updating of formats. Technology jumps.
  - Need paper to update
  - Student Teaching – Working on moving totally electronic. Few schools have problems because of firewalls.
  - Technology, time, resources, habit.

## Graduate – Shelly Gerber – Interview 12 – April 7, 2011

- Documents Information
  - Graduate level students' app through graduation. Transcripts, program, correspondence, apps, forms.

- Everything kept in hard copy and at least some digital. App materials scanned. Nothing is scanned from there until archiving.
- Apps reviewed digitally. Paper file kept up to 5 years.
- Documents required in hard copy from other departments
  - HR for work study.
- Barriers
  - Staff is very resistant to change. Habit.

**Archiving Policy**

<u>Type of file</u>	<u>Length of time archived</u>
Application never completed	2 years from date of application (most are shredded immediately after scanning since we keep application in current application files for 2 years)
Incomplete application withdrawn	2 years from date of application
Student denied admission	2 years from date of application or 1 year from date of denial, whichever comes last
Student declines offer of admission	2 years from date of declining admission
Student never begins program	2 years from semester admitted
Student not maintained active student status/ not enrolled in past two years	5 years from last semester enrolled
Student graduated	5 years from date of graduation

*School of Informatics – Pete Bucklin & Others Departments – Interview 13 – April 12, 2011*

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- Department Information
  - No school-wide retention policies.
  - Just about to go all digital – undergraduate too
  - CRM – pulls everything into one place that even students can see. There will be controls. Implementing soon.

**Facilities and Infrastructure, Security – Pete Bucklin**

- Documents Information
  - CAD files, IT related docs. Almost all digital if not digital, moving towards. Occasionally print drawings, etc. No policies.
- Documents required in hard copy to other departments
  - Facility requests just changed. Risk management – campus emergency list of authorized people to come back. Maybe had to be hard copy.

**Finance – John**

- Documents Information
  - Financial statements and reports. All digital. Occasionally print for someone else.
- Retention Information
  - Internally created, keep till purging needed.
- Internal documents required to be submitted in hard copy

- Sign off on purchases.

### Human Resources – Christie

- Documents Information
  - Payroll, visa docs (kept in hard copy), personnel files.
  - Hard copy – I9, faculty hiring letters, promotion & tenure
  - Staff evaluation – Paper then scanned and shredded.
- Retention Information
  - Keep 7 years generally. Some things kept forever. If leave – not kept. Anything with handwritten kept. Primary personnel file kept here, not central.
  - No purging, keep everything
- Positive Practices
  - Using Dropbox now.
- Documents required in hard copy to other departments
  - I9, tax paperwork, academic personnel 0 hard copy of contracts for RA's and AI's, new hires
  - I9's and new hires, personnel forms, contracts, many things submitted electronically then printed
- Barriers
  - Trying to create locations to access everything
  - Offer letters etc.
  - Easier to have hardcopy then find on computer
  - Habit and lack of procedure
  - Sensitive documents
  - HRMS – grant docs; don't know how to find w/o paper

### Graduate Programs – Linda

- Documents Information
  - All graduate students' records, applications and admissions through graduation.
  - Fin Aid all electronic
  - Test scores – electronically from ETS.
  - Capstone project (master's) – paper for now, moving away.
  - Printing out things like exceptions, if easier access
  - Everything printed and put in files
- General Information
  - Try to follow registrar's policies. Scanning and keeping everything as of right now, waiting to see what to keep.
- Retention Information
  - Have everything back through 2002.
  - Had to keep for a while because of exceptions.
  - Keep file for a time, capstone kept by professor.
  - Time as student, have hard copy file. Don't have way around.
  - Graduate tracking system from School of Education now implementing. Optimistic new system will hopefully get completely digital. Phasing in.

- Graduate School – Ph.D. Some things sent hard copy.
- Nomination of candidacy, abstract, etc.
- Monitored here, collected here and then sent to defend.
- Things are kept in several different places, difficult to access record keeping, detailed email records, etc.
- Barriers
  - Security, ease, accuracy important.

### Undergraduate Programs – Nancy

- Documents Information
  - Primarily SIS records, email. Prospective students schedule. Have hard copy “tab sheets”, university advisors require hard copy for degree req’s for advising. Degree audit report – electronic using AAR. Educational purposes. Staff evals – electronic. Many things digital. No internal requirements for hard copies.
  - Documents for courses are kept digitally during the class.
  - Camp counselor applications printed and kept while the applicant is there.
  - Orientation – university advisors ask for everything in hard copy recruiting, advising, marketing materials
  - Marketing Materials still in hard copy
  - Advising forms – electronic – subs, majors, etc.
  - All departments – correspondence in paper
- General Information
  - Soon implementing all online graduation tracking