

Chancellor's Office Subject File

Preservation and Access Policy for Electronic Records Managed by University Archives

Background

Since 1981, the University Archives has managed non-current records from the Chancellor's Office. These files are classified as record series 24/1/1 (Chancellor's Office Subject File) and are described at archives.library.illinois.edu/archon/index.php?p=collections/controlcard&id=64. As of April 2018, the file comprised 334 cubic feet of records, covering the academic years 1967/68 to 1985/86.

Generally speaking, paper-based files were transferred to the University Archives 20 years after their date of creation, as mandated in Records Disposal Authorization 15-30 (Appendix F). However, there have been no routine transfers during the past ten years, and the paper-based files have been retained in the Swanlund central files unit, which has been retrospectively scanning files for addition to their document management system. Regarding the files that have been transferred to University Archives, researcher and other users locate materials using folder- and item-level inventories, available through the URLs listed above. Given the files' bulk, complexity, and closed storage environment, University Archives' staff members help guide users to materials of relevance. Archivists retrieve boxes from storage, and users consult materials in the Archives search room.

This document establishes a policy and procedure framework to 1) transfer the electronic version of the Chancellor's Subject Files to the University Archives, 2) provide for the orderly and legal disposal of the paper-based files, and 3) establish a processing and access policy for the electronic files transferred to the University Archives. A presumption toward openness is retained, but administrative controls formalize the transfer, processing, disposal, and access procedures that will apply to future deposits of files from the Chancellor's Office. These controls recognize that electronic files are easier to access and distribute. They will guard against the unintentional release of any material that must be restricted for legal or policy reasons.

Guiding Principles

These policies and procedures are based on the following guiding principles:

- The Illinois State Records Act and Freedom of Information Act (FOIA) support public access to public records, unless a defined FOIA exemption exists.
- Within the framework established by the Illinois State Records Act and Freedom of Information Act (FOIA), the University Archives and Chancellor's Office will make a good faith effort to provide access to public records.
- Materials in the record series reflect campus policy decisions. As such:
 - The record series includes some documents that may be exempted from release under the Illinois Freedom of Information Act.
 - Files to be transferred to the University Archives are removed in time by at least 20 years from their date of creation and active use.

- Preliminary drafts, deliberative works, and correspondence relating to campus-level decisions retain administrative and historical value, but the administrative sensitivities of most such records diminish significantly over time.
- Nevertheless, certain files remain exempt from release under the provisions of the Illinois Freedom of Information Act, even 20 years from the date of their creation.
- The Chancellor's Office and University Archives will make a good faith effort to segregate exempt materials from the main body of records and will implement the following policies and controls to guard against unintentional release.

Transfer, Processing, Disposal, and Access Policy

Transfer: Beginning with files from 1986-87 academic year, the Chancellor's Office Subject File will be transferred to the archives in digital format (scanned or native PDF), using the transfer procedures outlined below (Appendix A). In isolated cases, files with high intrinsic value may be identified by the archivist or a member for the Chancellor's Office staff for paper preservation, but the vast majority of the records will be preserved in digital-only format.

Processing: All digital files transferred to the University Archives will be prepared for access using the processing procedures outlined below (Appendix B).

Disposal: Once digital files have been transferred to and processed by the Archives, paper-based files may be destroyed with the approval of the University Archives, under the authority of Records Disposal Authorization 15-30 (Appendix F), and JCAR Rule 4400.70 (Appendix G). The procedures outlined below (Appendix C) shall be used to ensure an orderly disposal process, and the destruction of paper-based files shall require the approval of the University Archivist.

Access: Recognizing the ease of access and copying that the digital medium provides, as well as the University's legal obligation to safeguard records whose access is limited by law, digital copies of files from the Chancellor's Office Subject File will be accessible in two separate record series.

- Record Series 24/1/1: Chancellor's Office Subject File.
- Record Series 24/1/2: Chancellor's Office Restricted Subject File. Access to record series 24/1/2 shall require written approval of the Chancellor or a designated representative.

Each record series will be governed by the access procedures outlined below, in Appendices D and E.

Policy Maintenance and Review: This policy will be maintained, reviewed, and updated at least every five years, by the staff of the University Archives and Records and Information Management Services. Review shall include consultation with the Chancellor's Office staff.

Appendix A: Transfer Procedure

At least once per year, staff from the Chancellor's Office will initiate a transfer of digital files from the document management system.

- All files that are at least twenty years or older from date of creation shall be transferred as soon as possible, and in chronological order by academic year (e. g. files for 1988-89 will be transferred before those from 1989-90)
- Files will be sorted into subfolders for each academic year, by date of creation. Folder titles will reflect the nature of the materials included therein.
- Files will be transferred via a hard drive hand carried to the University Archives, or via another secure method as might be agreed by the Chancellor's Office and University Archives.

Once the files are received in the Archives, staff from the Library's Digital Preservation Unit will copy the files to a secure storage server. While they are awaiting processing, the files will be accessible only to digital preservation and University Archives staff. Once successful transfer has been verified, the hard drive or other media will be returned to the Chancellor's Office central files unit.

Appendix B: Processing Procedure

A University Archives' Faculty member or an academic professional working under faculty direction will arrange and describe the records. The archivist will examine file folder titles to determine candidate materials for restriction. In addition, the archivist and staff members from Records and Information Management Services (RIMS) may use advanced filtering and classification tools to identify materials that bear the need for additional protection. These activities will represent a good faith effort to segregate records that are exempt from public release.

Generally speaking, records to be restricted will include the following classes of material, which reflect the exemptions allowed in the Illinois Freedom of Information Act:

- **Private information**, such as “unique identifiers, including a person’s social security number, driver’s license number, employee identification number, biometric identifiers, personal financial information, passwords or other access codes, medical records.”
- **Personal information** that, if disclosed, would constitute a clearly unwarranted invasion of personal privacy.
- **Law enforcement records** that, if disclosed, would interfere with a pending or reasonably contemplated proceeding or that would disclose the identity of a confidential source.
- **Life and physical safety information** that, if disclosed, might endanger anyone.
- **Business trade secrets** or commercial or financial information that is proprietary, privileged or confidential and disclosure would cause competitive harm to the business.
- **Student records**, including admission and scholarship/award records.
- **Personnel records**, including evaluations, recommendation, and grievance records.
- **‘Privileged and Confidential’** records with legal counsel that are marked as such
- **Executive Session** Board of Trustee Records, where the board has not yet released the records from Executive Session.

Any such records identified for additional protection will be segregated from the main body of records. They will be placed in a separate record series, 24/1/2, “Chancellor’s Office Restricted Subject File.” Access to these files will be allowed only as described in Appendix E, and after express written permission of the University Archivist and a representative of the Chancellor’s Office.

The remainder of the records (i.e. those NOT identified for protection) will be placed in University Archives record series 24/1/1, Chancellor’s Office Subject File, and will be subject to the access protocols described in Appendix D.

Appendix C: Disposal Procedure

Prior to disposal of the paper files that have been scanned, the Chancellor's Office central files unit will transfer the digital files to University Archives, as indicated in Appendix A. In addition, central files staff will review the scanning documentation reproduced on the attached form and provide to University Archives confirmation that the documentation is still accurate or provide the updated documentation to Archives and the Records and Information Management Services (RIMS) office.

Within 30 days from the date of transfer, University Archives will begin to process the digital files to confirm that they are of sufficient quality and format to be authentic substitutes of the paper files. Within 60 days from the date of transfer, University Archives will either notify central files staff of approval to destroy the paper files or will transfer them to the custody of the Archives.

In isolated cases, files with high intrinsic value may be identified by staff in the Chancellor's Office or the archivist for paper preservation, but the vast majority of the records will be preserved in digital-only format.

Additional processing and identification of restricted content as indicated in Appendix B may continue beyond 60 days, but that ongoing work will not delay the disposal or transfer of the paper files.

Records and Information Management Services Office

Documenting a record scanning process

The State of Illinois requires that the production of scanned records be in compliance with JCAR Section 4400.70. To meet compliance, any office in the University seeking to scan hard copy records with the intention to use these scanned documents in place of the hard copy originals must document their scanning process as evidence that the minimum State mandated requirements are being met.

1. College, Unit, Office (as applicable)

Office of the Chancellor

2. Category of documents being scanned (HR, Payroll, etc.)

There are 6 categories: General Subject Files; Academic Unit Files; Educational Organizational Files; General Budget Files; Administrative Budget Files. The documents scanned under these folders are: Correspondence, Financial documents; Conference/Seminar/Symposium document; Budgetary documents; Research documents; Meeting Agendas/Minutes; Speeches/Remarks.

3. Hardware used to create scanned documents

Fujitsu fi series scanners

4. Software used to create scanned documents (if known)

DocuShare and Adobe Acrobat

5. Scanner Resolution Settings (300 dpi minimum)

300dpi Other varies: 200-300dpi

6. Scanner Color Settings

Grayscale

Color

7. File Format

PDF

TIFF

JPEG

PDF/A

Other _____

8. File naming conventionⁱⁱ
YYYYMMDD_HHmss_sequencenumber.pdf

9. Are the scanned documents stored in an IT supported, shared space?

Yes No

10. File path where the scanned documents reside.

\\SWAN-ZDOC1.AD.UILLINOIS.EDU\SCANS

11. Quality Assurance. Percentage of documents reviewed after scanning (5-10% is acceptable, 30% is recommended, and high risk may require 100%ⁱⁱⁱ).

100% of scanned files are reviewed

12. Is this an ongoing process or a planned project?

Ongoing Planned Project

13. What is the primary reason for the scanning project/process? To save space, as part of a disaster recovery plan, to facilitate remote access, allow multiple simultaneous users, or other? Please explain below:

The scanning process was established to save space, assure consistency of records descriptors and filing protocol (minimizing duplication of records). Aids in the retrieval of documentation for inquiries for information related to requests for information, pending legal issues, FOIAs, or for operational or strategic purposes. The system allows remote access for multiple simultaneous users.

14. How long will you retain your hardcopy documents after they have been scanned?

Six Months One Year Two Years longer than two years

Wendy Bertram

Name of the person(s) who compiled the above information

2/14/18

Date

ii As default file names assigned by scanners typically hold little informational value what will be the file name convention implemented?

iii Please note that whatever percentage of scanned documents are reviewed, all of these documents must be wholly readable, complete, and findable to act as a suitable replacement for the hard copy originals.

Appendix D: Access Procedure for Record Series 24/1/1

Access to electronic materials in records series 24/1/1 will be subject to the following protocols:

- **Preservation:** Materials will be preserved in the Library's Preservation Repository (medusa.library.illinois.edu). To the extent possible, the original order of the files will be preserved, as will the original folder and file titles, except where the original order or titles provide an access impediment. In such cases, archives staff will modify order and titles to enhance access.
- **Metadata Access:** Full metadata (i.e. the file/folder title, and any additional metadata created by Archives Staff) will be available to the public, via the Library's digital library/archives: digital.library.illinois.edu. However, the files themselves will not be provided through the open web or open campus network.
- **File Access:**
 - The content of the files will be directly accessible **ONLY** in the University of Illinois search room (146 Library) on a designated computer. Copying or download of the files will not be enabled except on University Archives approval of a written request for reasonable amounts of material.
 - Any requests for copying of an individual file will require written approval of a University Archives staff.
 - Any requests for bulk export outside of the Archives search room (e.g., for more than a few folders of materials) will require written approval of the University Archivist and Chancellor's Office, using the form located on the next page of this document.

Chancellor's Office Subject Files Record Series 24/1/1

Access Request Form for Electronic Records

I request access to the following records from the electronic repository of documents from the Chancellor's Office Subject File (please be as specific as possible):

Academic Year of Files	Folder Titles

I hereby agree to the following conditions of use for these materials:

1. I understand that personally identifiable information or other information legally exempt from access under the Illinois Freedom of Information Act and similar laws, regulations, and policies will be redacted or removed by the University Archives prior to release.
2. In the event that I find such information, I will not use it in a way that could be linked to a specific individual, and I will inform a University Archives staff member of its presence.
3. I will not provide a copy of the files to a third party, publish them, post them online, or otherwise redistribute them, without prior and express written consent of the University Archivist.
4. If a copy of the files is provided to me, I will destroy the copy provided to me when the files are no longer needed for research.

_____ (Requestor) _____ (Date)

Approved

_____ (University Archives) _____ (Date)

If applicable:

_____ (Chancellor's Office) _____ (Date)

Appendix E: Access Procedure for Record Series 24/1/2: Chancellor's Office Restricted Subject File

Access to electronic materials in records series 24/1/2 will be subject to the following protocols:

- **Preservation:** Materials will be preserved in the Library's Preservation Repository (medusa.library.illinois.edu), in a manner where such files are available only to archival staff and system administrators. To the extent possible, the original order of the files will be preserved, as will the original folder and file titles, except where the original order or titles provide an access impediment. In such cases, archives staff will modify order and titles to enhance access.
- **Metadata Access:** Basic metadata (i.e. the file/folder titles only) will be available to the public, via the Library's digital library/archives: digital.library.illinois.edu.
- **File Access:**
 - Users may request access using the form on the next page of this document. Users should be as specific as possible in submitting the request and will be required to agree fully to the conditions stated on the access request form.
 - The request will be reviewed by the University Archivist, who will then forward the request to the Chancellor's Office for review.
 - If the request is approved by Chancellor's Office, Archives will provide access to a read only copy of the files, for consultation only. No copying or redistribution will be allowed without express written permission of the Chancellor's Office.
 - All restricted content will be made publicly accessible no later than 75 years from date of creation.

Chancellor's Office Restricted Subject File, Record Series 24/1/2

Access Request Form

I request access to the following records from the electronic repository of documents from the Chancellor's Office Restricted Subject File (please be as specific as possible):

Academic Year of Files	Folder Title

My request to consult these records is for (circle one):

Administrative use / Course project / Dissertation, Book or article / Other

Concerning _____

(provide as much detail as possible; attach additional sheet if necessary)

I hereby agree to the following conditions of use for these materials:

1. I understand that personally identifiable information or other information legally exempt from access under the Illinois Freedom of Information Act and similar laws, regulations, and policies will be redacted or removed by the University Archives prior to release.
2. I may be denied access to request certain types of records, in accord with the exemptions detailed in Section 7 of the Illinois Freedom of Information Act. Such information may include the following types of information:
 - **Private information**, such as "unique identifiers, including a person's social security number, driver's license number, employee identification number, biometric identifiers, personal financial information, passwords or other access codes, medical records."
 - **Personal information** that, if disclosed, would constitute a clearly unwarranted invasion of personal privacy.
 - **Law enforcement records** that, if disclosed, would interfere with a pending or reasonably contemplated proceeding or that would disclose the identity of a confidential source.
 - **Life and physical safety information** that, if disclosed, might endanger anyone.

- **Business trade secrets** or commercial or financial information that is proprietary, privileged or confidential and disclosure would cause competitive harm to the business.
 - **Student records**, including admission and scholarship/award records.
 - **Personnel records**, including evaluations, recommendation, and grievance records.
 - **‘Privileged and Confidential’** records with legal counsel that are marked as such
 - **Executive Session** Board of Trustee Records, where the board has not yet released the records from Executive Session.
3. In the event that any records exempt from distribution under the Freedom of Information Act are provided, I agree to the supplementary set of conditions noted below.
 4. For all approved requests and files, archives will provide access to a **read only** copy of the files, for consultation only, in the main archives reference room (146 Library).
 5. No copying or redistribution will be allowed without express written permission of the Chancellor’s Office. I will not attempt to copy, photograph, or distribute the records.
 6. I will not release, publish, redistribute or otherwise disclose any of the types of information listed in condition 2 above. In the event that I find such information, I will not use it in a way that could be linked to a specific individual, and I will inform the Archives staff of its presence.

Supplementary Conditions:

Name (print): _____ Title: _____

Email Address _____

Signed:

_____ (Requestor) _____ (Date)

Approvals:

_____ (University Archivist) _____ (Date)

_____ (Chancellor’s Office) _____ (Date)