Records Management Manual

The University of Akron

Created by:

S. Victor Fleischer
University Archivist, Head of Archives and Special Collections, and
Associate Professor of Bibliography

James N. Hilliard
University Records Manager (Retired)

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Revised by S. Victor Fleischer and Hannah Kemp-Severence

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I. Introduction

This manual is designed to provide general information to University employees about the proper management of University records. Terms bolded and underlined throughout this manual are defined in Appendix A: Glossary. Questions about this manual or **records management** in general should be directed to the University Records Manager at 330-972-8182 or hkempseverence@uakron.edu. Questions regarding **archival records** should be directed to the University Archivist and Head of Archives and Special Collections at 330-972-6253 or svfleis@uakron.edu.

In compliance with Section 149.33 of the **Ohio Revised Code** (https://codes.ohio.gov/ohio-revised-code/section-149.33), The University of Akron, by the authority of its Board of Trustees, has established a **Records Management Program** under the direction of **Archives and Special Collections** (formerly **Archival Services**). **Archives and Special Collections** is the division of University Libraries that collects, preserves, and provides access to primary and secondary resources that document the history of The University of Akron and the region in order to support the operational needs of the University and teaching and research activities at the University and the wider intellectual community. For more information see the department's website at www.uakron.edu/libraries/archives. The **Records Management Program**, which applies to all campuses of The University of Akron, is designed to meet the requirements detailed in the **Ohio Revised Code** (ORC) and University policies.

The purposes of the **Records Management Program** are to:

- Reduce the number of unnecessary records stored by the University
- Eliminate the duplication of records between University offices
- Provide a systemic method of records control and **disposition** resulting in increased efficiency and cost effectiveness for the University
- Minimize risks and liabilities and provide support to the University when and if the University faces litigation
- Ensure that records with **archival value** are identified and transferred to the University Archives for permanent **retention** and **preservation**

The University of Akron Board of Trustees (BOT), per rule 3359-11-11 (https://www.uakron.edu/ogc/universityrules/pdf/11-11.pdf), has designated the Director of Archival Services (now the University Archivist and Head of Archives and Special Collections) as the University Records Officer. In accordance with this rule, **Archives and Special Collections** is responsible for the **Records Management Program**, including:

- Developing an efficient and economical program for the **retention**, **disposition**, and **destruction** of University records

- In consultation with the **<u>Office of General Counsel</u>**, revising, editing, and updating the University's **<u>Records Retention Schedule</u>** as necessary and creating policies for **<u>records retention</u>**
- Providing for administrative rule filing through the **<u>Office of the General Counsel</u>**
- Providing the President and the **<u>Office of General Counsel</u>** with an annual report, consisting of a review of records being retained, the period therefor, and records that are destroyed or are being destroyed
- Informing the President and the Board of Trustees as to any current statutory, administrative or other changes required or deemed necessary

In cooperation with the **<u>Office of General Counsel</u>**, **<u>Archives and Special Collections</u>** also provides campus offices guidance and training regarding the **<u>retention</u>** and **<u>disposition</u>** of University records in all formats, including electronic.

II. Why a Records Management Program?

A. It's the Law: Ohio Revised Code, Sections 149.33 and 149.43

The University of Akron, as a public institution, is required to comply with all state and federal laws, including **Ohio Revised Code** (ORC), Sections 149.33 and 149.43 (Ohio's Public Records Statute). For more information see:
- ORC 149 (https://codes.ohio.gov/ohio-revised-code/chapter-149)
- ORC 149.33 (https://codes.ohio.gov/ohio-revised-code/section-149.33)
- ORC 149.43 (https://codes.ohio.gov/ohio-revised-code/section-149.43)

Section 149.33(B) of the **Ohio Revised Code** confers full authority for Boards of Trustees of state supported institutions of higher education to establish and administer a records program for their respective institution. The boards are required to apply efficient and economical management methods to the **creation**, **utilization**, **maintenance**, **retention**, **preservation**, and **disposition** of the records of their respective institutions. For more information see the "Records Retention Information" webpage on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/records-retention.dot.

University of Akron employees have a responsibility as legal **custodians** of **public records** to comply with state laws and University policies regarding the management of the University's records.

B. It's University Policy:

University policies regarding **records management** include:

1. BOT Rule 3359-11-11 University Records Officer (http://www.uakron.edu/ogc/UniversityRules/pdf/11-11.pdf)

   The University of Akron Board of Trustees, per University Rule 3359-11-11, has appointed the Director of Archival Services (now the University Archivist and Head of Archives and Special Collections) as the University Records Officer. **Archives and Special Collections** is responsible for **records management** at the University, with authority to develop an efficient and economical program for records **retention**, **disposition**, and **destruction** of University records.

2. BOT Rule 3359-07-01.1 Records Compliance Officer (http://www.uakron.edu/ogc/UniversityRules/pdf/07-01.1.pdf)

The Board of Trustees designated a records compliance officer for addressing **public record requests** pursuant to University Rule 3359-07.01.1. This person, serving in the **Office of General Counsel**, gathers the information necessary to comply with a **public records request**, reviews the documents for appropriate **redaction**, and releases the information to the requesting party. This individual also assists with the approval of **electronic records** retention and destruction schedules per University Rule 3359-11-11.1. For more information see the "Requesting Public Records" webpage on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/.

3. BOT Rule 3359-11-11.1 Electronic Records Retention (http://www.uakron.edu/ogc/UniversityRules/pdf/11-11.1.pdf)

    The University of Akron adopted University Rule 3359-11-11.1, which governs **electronic records** retention. In so doing, the University acknowledged that University employees create and maintain an increasing portion of their records using computers. **Electronic records** must be managed as well as traditional records for the sake of preserving institutional history, to comply with **public records requests** and court ordered **discovery**, and to comply with federal and state regulations. For more information see the "Requesting Public Records" webpage on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/.

4. BOT Rule 3359-11-08 Policies & Procedures for Student Records Family Educational Rights and Privacy Act (FERPA) (http://www.uakron.edu/ogc/UniversityRules/pdf/11-08.pdf)

    Under the Family Educational Rights and Privacy Act (FERPA), higher education institutions are limited in the information they can reveal about students. For more information see the "Do You Know About Your Educational Privacy?" webpage on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/privacy-practices-and-policies/ferpa.dot, or the U.S. Department of Education FERPA webpage at https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html?src=rn.

C. **It Benefits the University:**

A successful **records management program** provides the following benefits to the University, its students, and its employees:

1. Ensures the University meets regulatory compliance

2. Documents management decisions

3. Provides historical references of transactions and events

4. Improves the management of University records and enhances operational efficiencies related to records storage, **retention** and **disposition**

5. Monitors and prevents the **retention** and storage of unnecessary records, thereby reducing costs and increasing efficiency

6. Identifies **archival records** that require permanent **preservation** and **retention** in University Archives

III. Records Management Basics

A. What is Records Management?

Records Management is the field of management responsible for the efficient and systematic control of the **creation**, receipt, **utilization**, **maintenance**, and **disposition** of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records (ISO 15489: 2001 standard).

B. What is a Record?

Records include "any **document**, device, or item, regardless of physical form or characteristic, including an **electronic record** as defined in section 1306.01 of the **Ohio Revised Code**, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office" (ORC 149.011 (G)).

The following description of the types of records is excerpted from the Inter-University Council of Ohio's *Records Retention for Public Colleges and Universities in Ohio: A Manual* (May 2009 Revision):

All records have a **life cycle**, albeit some longer than others. Records are created or received, used, kept for valid legal, fiscal, or administrative reasons, and more likely than not destroyed at the end of their lives, although some with enduring **historical value** will be maintained in an **archives**. There are five general categories of retention:

- **INDEFINITE**: Records with an **indefinite** **retention period** are **documents** (including e-mail and other **electronic records**) which have significant administrative, legal, and/or fiscal value; further, they have an enduring **historical value** and therefore may be accessioned by and maintained in an **archives** forever.

- **LONG-TERM**: Records with a long-term **retention period** are **documents** (including e-mail and other **electronic records**) which have significant administrative, legal, and/or fiscal value and have a life that is typically longer than ten (10) years. Upon expiration of that **retention period**, the records should be disposed in an appropriate manner as soon as possible, providing there is no **legal hold**.

- **INTERMEDIATE**: Records with an intermediate or short-term **retention period** are **documents** (including e-mail and other **electronic records**) of significant administrative, legal, and/or fiscal value having a definitive

life, typically ten (10) years or less. Upon expiration of that **retention period**, the records should be disposed in an appropriate manner as soon as possible, providing there is no **legal hold**.

- **TRANSIENT: Transient** or **transitory records** have a very short-lived administrative, legal or fiscal value and should be disposed in an appropriate manner once that administrative, legal or fiscal use has expired, providing there is no **legal hold**. Typically, the **retention** is not a fixed period of time and is event driven; it maybe as short as a few hours and could be as long as several days or weeks. **Transient/transitory records** may include but are not limited to:
    - Preliminary drafts (when superseded)
    - Memoranda (paper-based or e-mail) pertaining to scheduling an event
    - Documents designated as superseded or as-updated
    - User copies (not original document)
    - Routing slips

- **NON-RECORD:** A **non-record** is any **document**, device, or item, regardless of physical form or characteristic, created or received that DOES NOT serve to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office. **Non-records** may include but are not limited to:

    - Personal correspondence
    - Non-university publications
    - Listserv® materials
    - Junk mail/spam
    - Product catalogs
    - Journals, books, other library materials
    - Faculty papers (faculty papers are the property of the faculty member, not the University and as such are not University records. However, in some cases University Archives may be interested in acquiring faculty papers)

    Non-records are not required to be retained and should be disposed of once they are no longer needed.

To summarize, records have a **life cycle** defined as "the distinct phases of a record's existence, from creation to final disposition" (SAA *Dictionary of Archives Terminology*) and a **records retention schedule** is the tool used to determine the **retention periods** and final **disposition** of University records (see Glossary in Appendix A for further information).

The University of Akron has developed a **records retention schedule** (see https://www.uakron.edu/ogc/legal-policies-and-procedures/records/Records%20Retention%20Schedule%20updated%2011-

[29-2021.pdf](#)) for use in determining the **retention** and **disposition** of University records. Knowledge of records' **life cycles** and proper utilization of the **records retention schedule** by University employees and the **office of origin** (the corporate body or administrative unit in which a group of records is created or received, and accumulated during the course of business) is key to the success of a **records management program** (see Section V below for more information on the UA retention schedule).

C. What about Electronic Records and E-mail?

The University of Akron adopted University Rule 3359-11-11.1 (https://www.uakron.edu/dotAsset/1344052.pdf), which governs **electronic records** retention. In so doing, the University acknowledged that University employees create and maintain an increasing portion of their records using computers. **Electronic records** must be managed as well as traditional records for the sake of preserving institutional history, to comply with **public records requests** and court ordered **discovery**, and to comply with federal and state regulations. For more information see the "Requesting Public Records" webpage on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/.

1) Electronic Records

The **Records Retention Schedule** applies to any University record, regardless of storage media or format, including e-mail. To make **electronic records** more manageable, it is recommended for each **office of origin** to set up a file structure with **file naming conventions** for each office's shared drive and to be consistent in following the file schema and naming conventions (see Appendix E: Electronic File Naming Conventions Guidelines for guidance on how to properly name electronic files).

2) E-Mail

E-mail is a means to convey information, so it does not appear as a record type in the retention schedule. Determining whether e-mail is a University record will depend upon the content. E-mail that is work-related or details University business qualifies as a University record. Much e-mail is considered **transient** and so is able to be deleted once its administrative/legal/fiscal value has been passed. Other e-mail is considered a **non-record** (personal messages, listserv materials, junk mail, etc.) and can be deleted. If the e-mail is a University record, it is imperative to retain it according to the **Records Retention Schedule**. For more information see University Rule 3359-11-11.1 at https://www.uakron.edu/dotAsset/1344052.pdf.

It is important to remove the **non-records** and any **transient/transitory records** that have outlived their administrative/legal/fiscal value as soon as possible so that the messages that are University records can be more efficiently managed. One approach, excerpted from the IUC's *Records Retention for Public Universities and Colleges: A Manual,* suggests managing e-mail like processing "snail mail" at work and home:

"Review the documents' content; this may mean thoroughly reading the document, but more often than not one is able to judge just by the look of the document or a subject line":

- If it is a **non-record**, then delete
- If it is a **transient/transitory record**, then place it in a folder or sub-folder (paper-based or electronic) that is designated for periodic review and dispose of as soon as allowable
- If it is a record, then file appropriately within a folder/filing system (paper based or electronic) that will allow the record to be managed throughout its **life cycle**

Again, please consult University Rule 3359-11-11.1 at https://www.uakron.edu/dotAsset/1344052.pdf for the full University policy.

IV. Roles and Responsibilities

A. Board of Trustees

Ohio Revised Code, Section 149.33(B) (https://codes.ohio.gov/ohio-revised-code/section-149.33) states that boards of trustees of state-supported institutions of higher education shall have full responsibility for establishing and administering a records program for their respective institutions. The boards shall apply efficient and economical management methods to the **creation**, **utilization**, **maintenance**, **retention**, **preservation**, and **disposition** of the records of their respective institutions.

B. University Records Officer

Board of Trustee Rule 3359-11-11 (https://www.uakron.edu/ogc/UniversityRules/pdf/11-11.pdf) states that the Director of Archival Services (now the University Archivist and Head of Archives and Special Collections) shall serve as the university records officer and that pursuant to division (B) of section 149.33 of the Revised Code, this individual shall be responsible for developing an efficient and economical program for records **retention**, **disposition**, and **destruction** of University records. Currently, the University Records Officer is:

S. Victor Fleischer
University Archivist, Head of Archives and Special Collections, and Associate Professor of Bibliography
Archives and Special Collections
Polsky Building, Room LL-10
225 S. Main St.
Akron, OH 44325-1702
330-972-6253 (Phone)
330-972-6170 (Fax)
svfleis@uakron.edu (E-mail)

C. Records Compliance Officer

Board of Trustee Rule 3359-7-01.1 (https://www.uakron.edu/ogc/UniversityRules/pdf/07-01.1.pdf) states that the records compliance officer shall coordinate the University's compliance with the Ohio Public Records Act, Revised Code 149.011 et. seq., including but not limited to gathering information sought by the requestor, assisting in the proper **redaction** of information from those records, and providing for the inspection of such information by the requestor or furnishing copies to the requestor. Currently, the Records Compliance Officer is:

Scott M. Campbell
Associate General Counsel and Records Compliance Officer
Office of General Counsel
302 Buchtel Hall, Rexford Suite 63
Akron, Ohio 44325-4706
330-972-7226 (Phone)
330-972-2611 (Fax)
smc4@uakron.edu (E-mail)

D. **University Records Manager**

The University Records Manager, under the University Archivist and Head of Archives and Special Collections, develops, implements and administers a campus-wide **records management program** including recommending and maintaining records retention and disposition schedules for University records both in paper and digital format. Currently, the University Records Manager is:

Hannah Kemp-Severence
University Records Manager
Archives and Special Collections
Polsky Building, Room LL-10
225 S. Main St.
Akron, OH 44325-1702
330-972-8182 (Phone)
330-972-6170 (Fax)
hkempseverence@uakron.edu (E-mail)

E. **Department Heads (or equivalent: Vice President/Dean/Director/Unit Head/Manager/Administrator, etc.)**

According to Board of Trustee Rule 3359-11-11.1 (https://www.uakron.edu/ogc/UniversityRules/pdf/11-11.1.pdf) the department head (or equivalent) of an office having **public records** is responsible for ensuring compliance with University policies regarding records and with the Ohio Public Records Law. When an employee leaves a department or the University, the department head is responsible for designating a new **custodian** and ensuring that any **public records** in the separating employee's possession are properly transferred to the new **custodian**.

F. **Records Coordinators**

Integral to the success of the **Records Management Program** are the Records Coordinators who serve as liaisons to the University **Records Manager**. To ensure effective services, each **office of origin** of the

University should assign at least one Records Coordinator. That person should be well-versed in the functions and accountabilities of their respective office/area. He/she will:

a. Participate in records management training

b. Train staff members within their area

c. Implement records management policies and procedures within their office

d. Promote the **Records Management Program**, including the use of the **Records Retention Schedule**

e. Notify office personnel of changes to the retention schedule

f. Acquire the proper signatures on records disposition reports

g. Inform co-workers of records destructions that affect their area

h. Coordinate the **legal hold** on records **destruction** when issued by the **Office of General Counsel**

i. Direct **public records requests** to the Records Compliance Officer and retrieve records from their area, if necessary

j. Assist with the identification of **archival records** and coordinate **transfer** to **Archives and Special Collections** for permanent **retention** and **preservation**

Any office or area that needs support to identify and train Records Coordinators should contact the University Records Manager at 330-972-8182 or hkempseverence@uakron.edu.

G. University Employees as Legal Custodians

All University employees who create, receive, or maintain University records are required to follow all state and federal laws and University policies regarding **records retention** and **disposition**. **Electronic records** must be managed as well as traditional records for the sake of preserving institutional history, to comply with **public records requests** and court ordered **discovery**, and to comply with federal and state regulations. For more information see https://www.uakron.edu/ogc/legal-policies-and-procedures/records/.

According to Board of Trustee Rule 3359-11-11.1 (https://www.uakron.edu/ogc/UniversityRules/pdf/11-11.1.pdf) the term "legal custodian" in reference to **electronic records** shall mean the originator of an e-mail message or the creator of an electronic document if that person is a University employee; otherwise it is the University employee to whom the message is addressed or to whom the electronic document is sent. If the record is transferred, by agreement or rule, to another person for archival purposes, then that person becomes the legal **custodian**.

V. Records Retention Schedule

A **records retention schedule** is a document that identifies and describes an organization's records, usually at the **series** level, and provides instructions for the **disposition** of records throughout their **life cycle** (see Appendix A: Glossary for more information on these terms).

To meet the requirements under the **Ohio Revised Code**, the University has adopted the UA Records Retention Schedule (https://www.uakron.edu/ogc/legal-policies-and-procedures/records/Records%20Retention%20Schedule%20updated%2011-29-2021.pdf), which is a combination of the Inter-University Council of Ohio (IUC) Records Retention Manual (https://www.uakron.edu/ogc/legal-policies-and-procedures/records/IUC-Model-Schedule1.pdf) and University specific **record series**. For additional information see the "Records Retention Information" webpage on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/records-retention.dot.

The schedule is grouped by **record series**, defined as "a group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity" *(The Society of American Archivists Dictionary of Archives Terminology)*. The Retention schedule covers records in any format, including paper, microfilm/fiche and electronic. The retention column indicates how long the record must be legally retained until final **disposition**.

Abbreviations used for **retention periods** in the schedule are defined below:

ACT = While **Active**
ACT+# = While **Active** + # of years
IND = **Indefinite** Retention (aka **Permanent**)
LOB = Life of Building
LOB+# = Life of Building + # of years
SUP = Until Superseded
3 Cycles = Pertains to the retention of electronic back-up files

Please refer to the Glossary in Appendix A of this manual for more information regarding the above terms.

This information can also be found on the "Records Retention Schedule" webpage of the Records Management website at https://www.uakron.edu/libraries/archives/records-management/records-retention-schedule.dot. If questions regarding the schedule should arise, please direct them to the University Records Manager at 330-972-8182 or hkempseverence@uakron.edu.

Please note:

Some **record series** titles in the schedule may be accompanied by notes in red text that are important instructions regarding those **records series**. Please pay special attention to notes that say "Review for continuing administrative and historical value and potential transfer to Archival Services" or any variation of this wording. Records identified in this manner are possibly **archival** and may need transferred to University Archives for permanent **preservation** and **retention**. Please consult the Archives and Special Collections Collection Development Policy for more information on records considered to be archival This document can be accessed online at (https://www.uakron.edu/libraries/archives/includes/docs/Collection_Development_Policy_UA_Archives_FINAL_revised_by_VF_04_22_22.pdf) and is also located in Appendix B of this manual. If your office has records that are designated in the schedule in this fashion and they are no longer **active** please contact the University Archivist and Head of Archives and Special Collections at 330-972-6253 or svfleis@uakron.edu.

VI. Records Management Services

Archives and Special Collections manages and maintains both **archival** (i.e. **permanent** or **historical**) and **temporary** University records. University employees have access to the University records stored in the **Archives and Special Collections** facility. Individuals from outside the University who wish to access University records may need to submit a **Public Records Request** to the **Office of General Counsel**. For more information see the "Requesting Public Records" webpage on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/.

A. UA Employee Services

1. Request a Record:

Requests by University employees for records stored at **Archives and Special Collections** can be submitted in-person (Polsky Building, Room LL-10), via telephone at 330-972-7670, or by e-mail at archives@uakron.edu. To ensure that our staff completes your request as quickly and accurately as possible, please provide as much information as you can about the records being requested. Archival records are non-circulating and must be viewed in the Archives and Special Collections Reading Room. However, the office of origin may request **temporary records** (those records without **archival value**) returned to their office for temporary or permanent retention. **Temporary records** can either be sent through campus mail or may be picked up at **Archives and Special Collections** during regular business hours (see the Library Hours webpage on the University Libraries' website at https://www.uakron.edu/libraries/about/hours.dot). Information about requesting records is also available on the "Employee Records Request" webpage on the Records Management website at https://www.uakron.edu/libraries/archives/records-management/employees/requests.dot.

2. Transfer Records:

A Records Transfer Form and Guidelines for Sending New Record Boxes to Archives and Special Collections have been developed to assist University employees with the **transfer** of **inactive** University records to **Archives and Special Collections** and to ensure effective control of the inventory of those records. They can be accessed on the "Transfer of Records" webpage on the Records Management website at https://www.uakron.edu/libraries/archives/records-management/employees/transfer.dot.

Please note:

Only **inactive** University records can be transferred to Archives and Special Collections. If records are still **active,** please maintain them in the **office of origin** for quicker and easier access. If the records are **temporary**, **inactive**, and have not met their legal retention requirements then they can be stored temporarily in **Archives and Special Collections** until their final **disposition** date. However, if the records are **temporary**, **inactive**, and have met their legal retention requirements do not send to **Archives and Special Collections**. Please properly destroy these records (please see Records Disposition below). Finally, if the records are **inactive** and **archival** (i.e. **permanent**) then they should be transferred to **Archives and Special Collections** for **permanent retention** and **preservation** in the University Archives as soon as they become **inactive**.

Samples of the guidelines and form for transferring records to **Archives and Special Collections** are found in Appendix C of this manual or on the "Transfer of Records" webpage on the Records Management website at https://www.uakron.edu/libraries/archives/records-management/employees/transfer.dot.

3. **Records Disposition:**

The **disposition** of University records must follow existing requirements to ensure compliance with established guidelines set forth in the UA Records Retention Schedule (https://www.uakron.edu/ogc/legal-policies-and-procedures/University%20of%20Akron%20Records%20Retention%20Schedule.pdf). Disposition reports for records stored at **Archives and Special Collections** are generated by the University Records Manager, submitted to the **office of origin**, then to the **Office of General Counsel**, and returned to the University Records Manager and University Archivist and Head of Archives and Special Collections for final approval.

Records disposition guidelines and reports have been developed to explain the disposition process and ensure the proper **life cycle** of University records stored at **Archives and Special Collections**. The Records Disposition Guidelines and sample report can be found in Appendix D of this manual or on the "Disposition of Records" webpage on the Records Management website at https://www.uakron.edu/libraries/archives/records-management/employees/disposition.dot.

University Records stored in the office of origin or elsewhere on campus that are temporary, inactive, and have met their legal retention

requirements per the UA Records Retention Schedule should be properly destroyed as soon as possible. These records should be sent to the University-approved shredding company by contacting Central Stores of the Office of Materials Handling at 330-972-5251. For more information see the "Shredding Program" webpage on the Central Stores website at https://www.uakron.edu/centralstores/shredding-program.dot.

Records on **litigation hold** (also known as a **hold order** or **freeze**), whether in paper or electronic format, must not be destroyed and must be preserved under penalty of the law until a release is issued by the **Office of General Counsel**. According to University Rule 3359-11-11.1 (https://www.uakron.edu/dotAsset/1344052.pdf):

> "When litigation against the university or its employees is filed or threatened, the law imposes a duty upon the university to preserve all documents and records that pertain to the issues. As soon as the **Office of General Counsel** becomes aware of pending or threatened litigation, a **litigation hold** directive will be issued to the legal **custodians**. The **litigation hold** directive overrides any **records retention schedule** that may have otherwise called for the **transfer**, **disposal** or **destruction** of the relevant documents, until the hold has been cleared by the **Office of General Counsel**. Violation of the hold may subject the individual to disciplinary action, up to and including dismissal, as well as personal liability for civil and/or criminal sanctions by the courts or law enforcement agencies."

Please note:

All employees must consult and comply with The University of Akron's **Records Retention Schedule** regarding the **retention** and **disposition** of records stored in the **office of origin**. For questions or guidance, please contact the University Records Manager at 330-972-8182 or hkempseverence@uakron.edu.

B. Public Records Requests

Access to University records may require a **public records request**. For public access to University records housed at **Archives and Special Collections**, please contact the department at 330-972-7670 or archives@uakron.edu to determine whether a **public records request** is required. Specific information regarding **public records requests** can be found on the "Requesting Public Records" webpage (https://www.uakron.edu/ogc/legal-policies-and-procedures/records/) and "Procedure for Complying with Public Records Requests" webpage (https://www.uakron.edu/ogc/legal-policies-and-procedures/records/public-records-policy.dot) on the Office of General Counsel's website.

VII.   Records Management Training Opportunities

Records Management provides service, guidance and access to University employees and diligent management of the records stored at **Archives and Special Collections**. In addition, Records Management works collaboratively with individual offices within the University to ensure reliable **maintenance** of their records.

The University Records Manager also provides a variety of training opportunities and resources to ensure that both Records Coordinators and the campus community are knowledgeable about their responsibilities regarding **records management**.

A. Website

Resources are available on the Records Management website at https://www.uakron.edu/libraries/archives/records-management/rm.dot, including this manual, the Records Retention Schedule, guidelines and forms for requesting records, transferring records, disposition of records, public records requests, and a FAQ page, along with basic information explaining the purpose and mission of the Records Management Program. Additional information is also available on the records portion of the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/, including information about **public records requests**.

B. Brightspace Course

A BrightSpace course is currently in development to address more specific training needs of Records Coordinators, or for anyone interested in learning more. Additional information on the Brightspace course will be announced to campus and will be available on the Records Management website once it is completed.

C. Personalized Training Resources

Campus offices may also contact the University Records Manager to arrange training sessions and resources tailored to specific office needs. Some lead time may be needed to develop specific resources.

Please contact the University Records Manager at 330-972-8182 or hkempseverence@uakron.edu to be enrolled in the BrightSpace course, when available, to arrange for in-person training sessions and resources for your office, or with any other questions or concerns.

VIII. Contacts

Archives and Special Collections
Polsky Building, Room LL-10
225 S. Main St.
Akron, OH 44325-1702
330-972-7670 (Phone)
330-972-6170 (Fax)
archives@uakron.edu (E-mail)

S. Victor Fleischer
University Archivist, Head of Archives and Special Collections, and Associate Professor of Bibliography
Archives and Special Collections
Polsky Building, Room LL-10
225 S. Main St.
Akron, OH 44325-1702
330-972-6253 (Phone)
330-972-6170 (Fax)
svfleis@uakron.edu (E-mail)

Hannah Kemp-Severence
University Records Manager
Archives and Special Collections
Polsky Building, Room LL-10
225 S. Main St.
Akron, OH 44325-1702
330-972-8182 (Phone)
330-972-6170 (Fax)
hkempseverence@uakron.edu (E-mail)

Appendix A: Glossary

The definitions used in this manual were taken from *The Dictionary of Archives Terminology* (https://dictionary.archivists.org/) developed by the Society of American Archivists (SAA) unless otherwise noted.

Active Records (also **current records**) n. – 1. Records that continue to be used with sufficient frequency to justify keeping them in the office of creation.

Notes: The frequency of use that makes records current is subjective. The distinction between active and inactive records attempts to relate the costs of storing records in the office against the costs of retrieving them from off-site storage. If records continue to be active, the cost of frequent retrieval from off-site storage will negate any savings in office storage.

Archival adj. – 1. Of or pertaining to archives. – 2. Having enduring value; permanent.

Archival records – (see **permanent records**).

Archival Services – (see **Archives and Special Collections**).

Archival value (also **permanent value**, **continuing value**, **enduring value**, and **indefinite value**), n. – The ongoing usefulness or significance of records, based on the administrative, legal, fiscal, evidential, or historical information they contain, justifying their continued preservation. (See also **historical value**).

Notes: In general, records with archival value are estimated to make up only three to five percent of an organization's records. In most organizations, the determination of which records are considered to have archival value is made by archivists.

Archives (also **archive**), n. – 1. Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs and preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator. – 2. The division within an organization responsible for maintaining the organization's records of enduring value. – 3. The building (or portion thereof) housing archival collections.

Archives and Special Collections (formerly Archival Services. Also referred to as Archives or University Archives), n. – The division of University Libraries that collects, preserves, and provides access to primary and secondary resources that document the history of The University of Akron and the region, as well as select materials requiring special care and handling. Materials are collected in order to support the operational needs of the University and the teaching and research activities at the University and the wider intellectual community (Archives and Special Collections website).

Notes: The department consists of University Archives, Special Collections, and Records Management. The department was founded in 1965 as University Archives, but soon started collecting regional history collections and was renamed Archival Services in 1972. The department changed its name to Archives and Special Collections in 2021 during a re-organization of University Libraries to better align with peer institutions and to better reflect its mission, collections, and services. For more information see the department's website at www.uakron.edu/libraries/archives.

Archivist n. – 1. A professional with expertise in the management of records of enduring value. – 2. An individual responsible for records of enduring value. – 3. (capitalized and usually preceded by *the*) The chief official responsible for the archives program of a nation, state, territory, or institution.

Audit n. – An independent review and examination of records and activities to test for compliance with established policies or standards, often with recommendations for changes in controls or procedures.

Notes: Records audits are sometimes called program reviews, evaluations, assessments, or inspections.

Custodian n. – The person or organization holding and responsible for the care of records, archival materials, or other cultural resources.

Current records – (see **Active records**).

Destruction n. – A disposal process that results in the obliteration of records.

Notes: At a minimum, destruction may be no more complicated than placing materials in the trash for transfer to a landfill. In other instances, the manner of destruction is appropriate to the sensitivity of the information contained in the materials and may involve shredding, maceration, or incineration. For electronic records, simple destruction may be accomplished by deleting the record, which merely removes the pointer from an index without overwriting the data. For sensitive information in electronic format, the media may be overwritten numerous times or physically destroyed to make it impossible to recover the data.

Discovery n. – 1. The process that compels a party in a lawsuit to disclose evidence and information relevant to the case. – 2. The process of searching for and identifying potentially relevant materials.

Disposal n. – The transfer of records, especially non-current records, to their final state, either destruction or transfer to an archives.

Notes: Disposal is not synonymous with destruction. The manner and timing of disposal is typically described on a retention schedule.

Disposition (also **final disposition**), n. – Materials' final destruction or transfer to an archives as determined by their appraisal.

Document n. – 1. Any written or printed work; a writing. – 2. Information or data fixed in some media. – 3. Information or data fixed in some media, but which is not part of the official record; a non-record. – 4. A written or printed work of a legal or official nature that may be used as evidence or proof; a record.

Electronic record (also **digital record**), n. – Data or information that has been captured and fixed for storage and manipulation in an automated system and that requires the use of the system to render it intelligible by a person.

Notes: "Electronic records" can encompass both analog and digital information formats, although the term principally connotes information stored in digital computer systems. "Electronic records" most often refers to records created in electronic format (born digital) but is sometimes used to describe scans of records in other formats (**reborn digital** or **born analog**). Electronic records are often analogous to paper records; e-mail to letters, word processing files to reports and other documents. Electronic records often have more complex forms, such as databases and geographic information systems.

File Name n. – The chief identifier for a record. In the world of electronic records, the record's file name provides metadata that places the record in context with other records, records series, and records retention schedules (Society of American Archivists Museum Archives Working Group "File Naming Conventions").

File Naming Convention n. – A framework for naming your files in a way that describes what they contain and how they relate to other files.

Notes: Developing a file naming convention (FNC) is done through identifying the key elements of the project and the important differences and commonalities between your files. These elements could include things like the date of creation, author's name, project name, name of a section or a sub-section of the project, the version of the file, etc. An advantage to using unique and standardized file names is the ability to follow path names and link to the systems that require unique file names (Harvard Medical School).

Freeze v. – To suspend the scheduled destruction of records because of special circumstances, such as litigation, investigation, audit, or merger.

Frozen record n. – A record that is scheduled for routine destruction but is preserved because it may be needed as evidence in litigation, investigation, audit, merger, or other special circumstance.

Historical value n. – 1. The importance or usefulness of records that justifies their continued preservation because of the enduring administrative, legal, fiscal, or

evidential information they contain. – 2. The usefulness or significance of records for understanding the recorded human past. (See also **archival value**).

Hold Order n. – A communication directing the halt of scheduled destruction of any records that are potentially relevant to litigation, investigation, or audit.

Notes: Records subject to a hold order are said to be frozen. Records are typically frozen if they are potentially relevant to impending or current litigation, regardless of whether a hold order or subpoena has been issued.

Inactive records – (see **non-current records**).

Indefinite (also **permanent**), n. – Records with an indefinite retention period are documents (including some e-mail and other electronic records) which have significant administrative, legal, and/or fiscal value; further, they have an enduring historical value and therefore may be accessioned by and maintained in an archive forever. (*Records Retention for Public Colleges and Universities in Ohio: A Manual* (Inter-University Council of Ohio, May 2009 Revision)).

Information copy n. – A copy of a record distributed to make recipients aware of the content, but not directing the recipient to take any action on the matter.

Notes: Information copies are often considered to be non-records, having only ephemeral value. Because information copies are duplicates of the record copy, some retention schedules allow them to be disposed of at any time without authorization.

Legal Hold – (see **Hold Order**)

Life cycle n. – The distinct phases of a record's existence, from creation to final disposition.

Notes: The life cycle model for managing records portrays the life of a record as going through various stages or periods, much like a living organism. In stage one, the record is created, presumably for a legitimate reason and according to certain standards. In the second stage, the record goes through an active period when it has maximum primary value and is used or referred to frequently by the creating office and others involved in decision making. During this time the record is stored on-site in the active or current files of the creating office. At the end of stage two the record may be reviewed and determined to have no further value, at which point it is destroyed, or the record can enter stage three, where it is relegated to a semi-active status, which means it still has value, but is not needed for day-to-day decision making. Because the record need not be consulted regularly, it is often stored in an off-site storage center. At the end of stage three, another review occurs, at which point a determination is made to destroy or send the record to stage four, which is reserved for inactive records with long-term, indefinite, archival value. This small percentage of records (normally estimated at approximately five per cent of the total

documentation) is sent to an archival repository, where specific activities are undertaken to preserve and describe the records.

Litigation Hold – (see **Hold Order**)

Non-current records n. – Records that are no longer used in the regular course of business, but which are preserved and occasionally used for legal, historical, or operational purposes.

Notes: Non-current records are often stored out of the office of creation in a records center or on offline media. Either they may be destroyed when their frequency of use falls so low that they have lost all value or they may be transferred to an archival repository for permanent retention.

Non-records n. – Any document, device, or item, regardless of physical form or characteristic, created or received that DOES NOT serve to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office. Non-records may include, but are not limited to:
- Personal correspondence
- Non-university publications
- Listserv® materials
- Junk mail/spam
- Product catalogs
- Journals, books, other library materials
- Faculty papers (Faculty papers are the property of the faculty member, not the university and as such are not university records. However, in some cases the University Archives may be interested in collecting faculty papers)

(*Records Retention for Public Colleges and Universities in Ohio: A Manual*, (Inter-University Council of Ohio, May 2009 Revision))

Office of General Counsel (also **General Counsel**), n. – The General Counsel serves as the chief legal advisor to the Board of Trustees, the President and to University officers and administrators. The office is responsible to the Board of Trustees and to the President for the direction and supervision of all University legal matters (Office of General Counsel website).

Office of Origin (also **creating office**, **originating office**), n. – The corporate body or administrative unit in which a group of records is created or received, and accumulated during the course of business.

Ohio Revised Code n. – The Ohio Revised Code is the codified law of the State of Ohio. It contains all current statues of the Ohio General Assembly of a permanent and general nature, consolidated into provisions, titles, chapters, and sections. It is not available in print, but can be accessed online at https://codes.ohio.gov/ohio-revised-code (Legislative Service Commission, Ohio Laws & Administrative Rules at https://codes.ohio.gov/).

Permanent Records (also known as **archival records**), n. – Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs intended to be preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator.

Notes: Some archivists may distinguish permanent records from archives, the former representing records still in the hands of the records creators before transfer to the archives. In the vernacular, "archives" is often used to refer to any collection of documents that are old or of historical interest, regardless of how they are organized; in this sense, the term is synonymous with permanent records.

Preservation n. – 1. The professional discipline of protecting materials by minimizing chemical and physical deterioration and damage to minimize the loss of information and to extend the life of cultural property. – 2. The act of keeping from harm, injury, decay, or destruction, especially through non-invasive treatment. – 3. The obligation to protect records and other materials potentially relevant to litigation and subject to discovery.

Notes: Preservation is sometimes distinguished from conservation, the latter describing treatments to repair damage.

Permanent value (see **archival value**).

Public record n. – 1. A record created or received by a government official or agency as part of their official duty or function. – 2. A record preserved in a government archives for future reference; public archives. – 3. A record that is property of the citizens of a state or nation.

Notes: Each state and the federal government have their own legal definition of a pubic record. Ohio public records, pursuant to ORC 149.43 (A), include "records generated or maintained by any public office, including but not limited to the state, a county, a city, a village, a township, or a school." It should be noted that a public record does not always imply public access to that record. While open records laws often include exemptions that provide access restrictions to protect an individual's right to privacy, to ensure public safety, and to allow for the deliberative process.

Public records request n. – An inquiry or oral or written expression asking for access to or a copy of a public record(s).

Notes: A public records request is usually a more formal request from the general public for access to University records, which is usually submitted in writing to the Office of General Counsel. As a state institution, The University of Akron is required by state law, particularly the Ohio Public Records Act, to provide access to University records, which are state property, unless precluded by other laws such as the Health Insurance Portability and Accountability Act (HIPPA) or Family Educational Rights

and Privacy Act (FERPA), which will be determined by the Office of General Counsel (University of Akron).

Record n. – "Records" includes any document, devise, or item, regardless of physical form or characteristic, including an electronic record as defined in section 1306.01 of the Ohio Revised Code, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office (ORC 149.011(G)).

Notes: If a document or other item does not meet all three parts of the definition of a "record," then it is a non-record and is not subject to either the Ohio Public Records Act or records retention requirements.

Records creation n. – The first stage in the records life cycle, when records are accumulated either through creation or receipt.

Records maintenance and use n. – The second stage in the records life cycle, involving the storage, retrieval, and handling of records during the course of business in an office.

Records management n. – 1. The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition. – 2. Records management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records (ISO 15489: 2001 standard).

Records management program n. – The activities, policies, and procedures within an organization to implement records management.

Records manager n. – An individual responsible for the administration of programs for the efficient and economical handling, protecting, and disposing of records throughout their life cycle.

Records series – (see **Series**)

Records utilization – (see **Records maintenance and use**)

Redaction n. – The process of concealing sensitive information in a document before being released to someone not authorized to see that information.

Notes: Redaction may be used to protect an individual's privacy or to ensure classified information is not compromised.

Reference copy n. – 1. A copy of a record kept for easy access to the information it contains, as opposed to its intrinsic or evidential value. – 2. A copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter. – 3. A specific copy used as a benchmark for purposes of checking the quality of other copies.

Request n. – 1. An inquiry. – 2. An oral or written expression asking for something.

Retention period n. – The length of time records should be kept in a certain location or form for administrative, legal, fiscal, historical, or other purposes.

Retention schedule (also **disposal schedule**, **records schedule**, **records retention schedule**), n. – A document that identifies and describes an organization's records, usually at the series level, and provides instructions for the disposition of records throughout their life cycle.

Retrieval n. – The process of locating material or information in storage and returning it for use.

Schedule n. – The process of identifying and describing records held by an organization, determining their retention period, and describing disposition actions throughout their life cycle.

Semi-active records (also **semi-current records**), n. – Records that are seldom used in day-to-day operations and that are appropriate for off-site storage.

Series (also **records series** or **file group**), n. – A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity.

Special Collection n. 1. A cohesive collection of non-circulating research materials held together by provenance or by a thematic focus. – 2. An institution or an administrative unit of a library responsible for managing materials outside the general library collection, including rare books, archives, manuscripts, maps, oral history interviews, and ephemera. – adj.1.Relating to special collections.

Temporary Record (also called **disposable record** or **transitory record**) n. – A record of ephemeral value that can be destroyed immediately or after a short time period.

Note: Temporary records are distinguished from permanent records, which must be kept indefinitely.

Transfer n. – The process of moving records as part of their scheduled disposition, especially from an office to a records center, from a records center to an archives, or from an office to an archives.

Transient record (also called **transitory record**) – n. Transient or transitory records have a very short-lived administrative, legal or fiscal value and should be disposed in an appropriate manner once that administrative, legal or fiscal use has expired, providing there is no legal hold. Typically, the retention is not a fixed period of time and is event driven; it may be as short as a few hours and could be as long as several days or weeks. Transient/transitory records may include, but are not limited to:

- Preliminary drafts (when superseded)
- Memoranda (paper-based or e-mail) pertaining to scheduling an event
- Documents designated as superseded or as-updated
- User copies (not original document)
- Routing slips

(*Records Retention for Public Colleges and Universities in Ohio: A Manual* (Inter-University Council of Ohio, May 2009 Revision).

Transitory record (See **transient record**).

Appendix B: Archives and Special Collections Collection Development Policy (including Appendix A: Collecting Guidelines for University Archives)

THE UNIVERSITY OF AKRON
UNIVERSITY LIBRARIES
ARCHIVES AND SPECIAL COLLECTIONS

COLLECTION DEVELOPMENT POLICY

Created December 2, 2009
by
S. Victor Fleischer, Associate Professor of Bibliography, University Archivist and Head of Archives and Special Collections
and
John M. Vincler, Assistant Professor of Bibliography and Special Collections Librarian
Revised on May 10, 2011, February 11, 2016, and April 22, 2022

TABLE OF CONTENTS

I. Introduction

This document is a supplement to The University of Akron University Libraries Collection Policy. Archives and Special Collections (formerly Archival Services), including University Archives, Special Collections, and Records Management play an integral role within the University Libraries and aims to support the operational needs and teaching and research mission of The University of Akron, including undergraduate and

graduate curricula. The collection development policy was written to offer guidance to the University Archivist and Head of Archives and Special Collections in making decisions about whether or not material is appropriate for the collection. It is based on professional library and archival standards, including the Society of American Archivists "Guidelines for College and University Archives" (2005) and the Association of College and Research Libraries "Guidelines on the Selection and Transfer of Materials from General Collections to Special Collections" (Third Edition).

II. Mission

The University Libraries provides state-of-the-art access to broad and diverse scholarly resources and innovative technologies to empower users to evaluate their information needs, identify and access reliable sources, and successfully transform information into knowledge.

Archives and Special Collections, a division of University Libraries, collects, preserves, and provides access to primary and secondary source materials that document the history of The University of Akron and the region, as well as select materials requiring special care and handling. Materials are collected in order to support the operational needs of the institution and the teaching and research activities at the University and in the wider intellectual community.

III. Subject Scope

A. Collecting Focus Overview

Archives and Special Collections includes University Archives, Special Collections, and Records Management. University Archives serves as the official memory of The University of Akron and its predecessor institutions from its founding in 1870 to the present. University Archives includes the official records of the University that have lasting historical value (also known as archival value) and unofficial records, papers, and publications having historical value that pertain to The University of Akron by affiliated individuals and organizations (See Appendix A for collecting guidelines for University Archives). Records Management assists the University Archives in identifying those official University records that have archival value and transferring them to University Archives for permanent retention and preservation.

Special Collections serves as a collecting repository that documents the history of the region and preserves rare and valuable materials from University Libraries. Special Collections consists of manuscripts, rare books, and local government records. Manuscript collections include personal and professional papers of local individuals eminent in various fields and organizational records of important local businesses and civic, religious, and cultural organizations. The collections focus on materials that document the history of the rubber and polymer industry and the

related industry of lighter-than-air flight, particularly in the Akron/Summit County area. (See Appendix B for collecting guidelines for Special Collections.) Special Collections is also home to the University Libraries Rare Book Collection, including the Muehlstein Collection with notable examples of early printed books and important printings of the works of Shakespeare, Dickens, and others. (See Appendix C for collecting guidelines for rare books and other printed matter.) As a member of the Ohio Network of American History Research (ONAHR) Centers and as part of the State of Ohio's Local Government Records Program (LGRP) administered by the Ohio History Connection (formerly the Ohio Historical Society), Special Collections also serves as a repository of local government records for a nine-county region in northeastern Ohio. Local government records include the official records from local governments such as courts, schools, cities and townships that have lasting historical value. (See Appendix D for collecting guidelines for local government records.)

B. Primary Collecting Focus

Archives and Special Collections collects primarily in the following areas:

1. University of Akron history

2. Local history (Akron and Summit County)

3. History of the rubber and polymer industry

4. History of lighter-than-air flight (airships, balloons, blimps, and dirigibles)

C. Secondary Collecting Focus

In addition to the subjects listed above, Archives and Special Collections collects secondarily in the following areas:

1. Ohio Canals, particularly local canals including the Ohio & Erie Canal and the Pennsylvania & Ohio Canal

2. Regional history (see Geographical Coverage below)

3. Rare Books

4. Local Government Records (see Geographical Coverage below)

5. B-26 Marauder and Ninth Air Force materials (see guidelines for collecting in Appendix E)

D. Geographical Coverage

Local history, especially The University of Akron, the City of Akron, and Summit County, is the principle collecting area of Archives and Special Collections. As a member of ONAHR, Archives and Special Collections is the official repository for local government records from a nine-county region in northeast Ohio. Local government records holdings include Summit, Ashland, Holmes, Coshocton, Portage, Richland, Stark, Tuscarawas, and Wayne counties. In addition to local government records, Archives and Special Collections also collects manuscripts from this nine-county region. Priority in local government records and manuscripts will be given to materials relating to Summit County history with a second priority given to the contiguous counties of Portage, Stark, and Wayne. The book collection covers several continents, but is strongest in American and European literature and history. The collecting focus of nearby institutions is considered when evaluating materials for transfer, deposit, donation, or purchase, especially in relation to local history.

E. Language

The primary language represented in the collection is overwhelmingly English. However, the rare book holdings include books in Latin, Greek, and several Western European languages including French, German, Spanish, Portuguese, and Italian. Lighter-than-air collections include books and archival materials in German, French, and Russian.

F. Period Coverage

Archives and Special Collections houses books spanning more than 500 years, from incunabula (books printed before 1501 CE) to recently published monographs on local history, current faculty publications, and works from The University of Akron Press. Manuscript and archival collections date to the Civil War and the founding of Buchtel College (The University of Akron's predecessor institution), respectively. Local Government Records date back to the early 1800s.

IV. Curriculum and Users Served

Archives and Special Collections primarily supports the curricular and research needs of the students, faculty, staff, alumni, and community of The University of Akron. The collection is also open to the general public including regional, national, and international scholars and researchers. Materials are made available in accordance with the "ALA/SAA Joint Statement on Access to Research Materials in Archives and Special Collections Libraries." Researchers must adhere to the Archives and Special Collections Reading Room Policy.

V. Acquisition of Materials

The University Archivist and Head of Archives and Special Collections, with the assistance of department and library faculty and staff, will evaluate and identify University archives, manuscripts, books, and other archival materials for inclusion in Archives and Special Collections. Archives and Special Collections materials are usually acquired in the following manner:

A. Donation

Donation of materials is both an active process of soliciting for particular materials and a passive process of accepting materials that are brought into the Archives. Archives and Special Collections both encourages donation of materials to the repository and actively solicits for particular materials. It is policy to encourage donation of materials that are in keeping with the subject scope of Archives and Special Collections.

All donations must be represented on a legal donor form (also known as a Deed of Gift), which includes a description of the materials; name and signature of donor; date of donation; description of any restrictions on the use of the donation; and signature of the Dean of University Libraries, Senior Vice President and Provost, and a representative from the Office of General Counsel.

Donations that carry stringent donor restrictions may not be accepted. The University Archivist and Head of Archives and Special Collections will determine that the donor has, in fact, the right to make the donation, and that the donation is not encumbered by ethical and legal problems such as authenticity.

B. Transfer of Custody

Custodial transfer is the means by which Archives and Special Collections acquires most official University records. Custodial transfer applies only to public records in which legal custody has transferred from one office to another. In addition, books, periodicals, maps, and audio/visual materials may be acquired through from the University Libraries' circulating or reference collections after review and selection by the University Archivist and Head of Archives and Special Collections for inclusion in either University Archives or Special Collections.

C. Purchase

Purchase of manuscript and archival materials is normally discouraged. If a significant collection becomes available only through purchase, such an acquisition must be considered on its own merits. It is important to note that purchase of such materials tends to discourage donations by other potential donors. If more than one institution is involved in bidding for materials, the needs of the patrons may be subverted. For these reasons, purchase of materials is generally limited to commercially published materials only.

D. Deposit

Donations in the form of an outright gift are strongly encouraged and are greatly preferred over deposits. New incoming materials on deposit in Archives and Special Collections are generally discouraged and will only be initiated under special circumstances. All deposits must be covered in a contractual agreement between the University and the depositing agency. Collections may be deposited in Archives and Special Collections only if a contractual deposit agreement has been established and approved by the University Archivist and Head of Archives and Special Collections. Any such collections must be useful to the University and region within the repository's collection scope. Except in extraordinary circumstances, deposited materials will be made available for use by the general public.

VI. Appraisal

Appraisal is the basis for selecting records and papers that are to be retained within Archives and Special Collections. Archival appraisal is the process of evaluating actual or potential acquisitions to determine if they have sufficient long-term research value to warrant the expense of processing and preserving the collection by the repository. Careful appraisal of potential collections is of primary importance in eliminating unwanted materials and ensuring unnecessary growth. Before materials are accepted into Archives and Special Collections, the designated The University Archivist and Head of Archives and Special Collections or department staff will conduct a careful appraisal of the materials as a whole. Preliminary and subsequent weeding of a record or manuscript group occurs as the materials are being processed. Processing involves further appraisal/weeding, arrangement, description, storage and conservation.

VII. Materials Generally Not Accepted by Archives and Special Collections

This is only a general and not an exhaustive list. More specific lists per collecting area are further defined in the appendices. Unsuitable materials may be discussed with donors, depositors, or transferring offices at the time of donation, deposit, or transfer.

1. Archives and Special Collections usually only collects original materials. Photocopies and facsimiles of materials will not be accepted except under special circumstances (i.e. the original materials are no longer in existence or are damaged beyond repair). Archives and Special Collections will not consider or accept copies of materials that are held at another collecting institution.
2. Portions of manuscript groups where the majority of materials have been donated to another institution will typically not be accepted. Archives and Special Collections will strongly encourage the donor to donate their material to that institution in order to maintain the integrity of the records and for the convenience of the researcher.
3. Archives and Special Collections does not typically collect non-documentary materials such as artifacts and memorabilia with the exception of University Archives,

especially if the artifacts are particularly large and unmanageable. Smaller artifacts may be considered if they have historical value and are part of a larger collection of records or papers.

4. All materials donated, transferred, or deposited with Archives and Special Collections must be inactive (also known as non-current) as Archives and Special Collections does not collect active records. Inactive or non-current records are defined by the Society of American Archivists as "records that are no longer used in the day-to-day course of business."

5. Plaques, awards, and trophies are usually not accepted. A list of awards and honors will suffice or should be documented in the organizational history or on the individual's resume or curriculum vitae.

6. Duplicate copies (usually more than two) of any material will typically either not be accepted or will be weeded at the time of appraisal, re-appraisal, or processing.

7. Most financial records including cancelled checks, receipts, and bank statements (annual financial reports are typically the only financial records of historical value).

8. Donations that carry stringent donor restrictions may not be accepted.

9. Materials that are damaged beyond repair or exhibit mold growth or insect/rodent infestation will not be accepted.

10. Acquisition decisions may be limited by space restrictions or because of the state of the collection. Materials with marginal historical value that are completely disorganized or are too large may not be accepted.

11. Items without historical value, which will be determined by the University Archivist and Head of Archives and Special Collections, will not be accepted. Examples include junk mail; telephone messages; blank forms and envelopes; and routine correspondence, especially non-personally addressed mail and routine letters of transmittal and acknowledgment.

VIII. Collecting Guidelines Overview

Guidelines for various collections are covered in the appendices to this document. The Collection Guidelines only provide general guidelines for selection criteria, with the ultimate collection decisions being made by the University Archivist and Head of Archives and Special Collections. Acquisitions decisions will be based on professional appraisal standards. Acquired materials will be made open and available to the public, except in extraordinary circumstances. Every effort will be made to provide basic description of materials that have been donated or transferred to Archives and Special Collections. Arrangement and further description of these materials will be completed on a priority basis as set by the University Archivist and Head of Archives and Special Collections.

APPENDIX A

Collecting Guidelines for University Archives

The University Archives serves as the institutional memory of The University of Akron and is the largest and most comprehensive source of information about the history of the University and its predecessor institutions. University Archives contains official records of the institution that have historical value as well as unofficial records and papers of faculty, staff, students, alumni, affiliated organizations, and others that document the history of the University.

While these guidelines strive to be comprehensive they are by no means exhaustive and are meant to give general guidance to campus offices and the University Archivist. Collecting in University Archives is guided—but not always determined—by The University of Akron Records Retention Schedule (https://www.uakron.edu/ogc/legal-policies-and-procedures/records/Records%20Retention%20Schedule%20updated%2011-29-2021.pdf), which is based on the Inter-University Council of Ohio (IUC) *Records Retention for Public Colleges and Universities in Ohio: A Manual* (May 2009 Revision). The schedule and the University Archivist should be consulted before sending records to University Archives. The University Archivist has final determination whether records have archival value and should be transferred to Archives and Special Collections for permanent retention and preservation.

The official administrative records of the University designated as archival should be inactive and no longer used in the day-to-day activities of the originating office. The originating office may place restrictions on access to non-current records, in consultation with the University Archivist, University Records Manager, and Records Compliance Officer in the Office of General Counsel.

Examples of records sought by the University Archives include:

1. **Official Records, Papers, and Publications of The University of Akron and its predecessor institutions**

   The official records encompass those records or papers produced or received by the various administrative offices and colleges, schools, academic departments, and institutes of The University of Akron in the conduct of its business which are preserved for their enduring value. Official records, papers and publications include:

   a. Minutes, memoranda, correspondence, and reports of the Board of Trustees and predecessor bodies

   b. Records of the President's office including official correspondence, presidential speeches, administrative subject files, commencement programs, and reports of the President's Office and the entities such as the Administrative Units and Committees reporting to the President

c. Correspondence, subject files, and reports of the Office of Academic Affairs and the offices of central administration, including: Administration, External Affairs, Finance, General Counsel and Secretary of the University, Student Affairs, and University Relations

d. Correspondence, subject files, and reports of vice presidents, deans, directors, chairs and administrators of the schools, colleges, divisions, programs, and institutes of the University

e. Minutes, memoranda and reports of all major academic and administrative commissions, councils, and committees including the University Senate and its committees

f. Departmental records, including minutes, reports, correspondence, and syllabi

g. Accreditation reports and supporting documentation

h. Organizational charts

i. Collective bargaining agreements

j. Annual institutional budget and external audit reports (Note: internal audit reports are not collected by University Archives as they are not considered to have archival value. See the UA Records Retention Schedule at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/Records%20Retention%20Schedule%20updated%2011-29-2021.pdf).

k. Records of the Registrar, including timetables, schedule of classes, enrollment reports, graduation rosters and other reports issued on a regular basis

l. Alumni records, including minutes of the alumni associations, alumni magazines, and alumni directories

m. Reports of the Admissions Office

n. Records of the Athletics Office including posters, handbooks, programs, rosters, news clippings, photographs, film, and scrapbooks of all athletic teams and offices

o. Records of student organizations such as founding documents, meeting minutes, reports, publications, photographs, and scrapbooks

p. All publications distributed in the name of the University, including catalogs, special bulletins, yearbooks, student newspapers, University directories and faculty/staff rosters, newsletters, news releases, advertisements, and ephemeral material

q. Recruitment materials including videos, publications, posters, advertisements, viewbooks, etc. used to recruit students

r. Photographs, prints, negatives, slides, audio and video film, tapes and reels, oral history interviews, and optical and compact discs documenting the development of the University and the people, places, and events at the University

s. Patents and trademark registrations

t. Real estate records including copies of deeds, leases, purchase agreements, appraisals, etc. documenting real property purchased or leased by the University

u. Biographical information of University employees, especially full-time tenured faculty and long-time administrators and staff. Biographical files should include a dated head shot photograph, a dated copy of curriculum vitae, any additional information as to scholarly interests and pursuits, an obituary, and newspaper clippings or press releases documenting important events and accomplishments in the person's life

v. Security copies of microfilm reels containing vital records (also known as essential records). Vital or essential records in this sense are defined as "emergency-operating records immediately necessary to begin recovery of operations after a disaster, and rights-and-interests records necessary to protect the assets, obligations, and resources of the organization, as well as its employees and customers or citizens. Essential or vital records typically document delegation of authority and line of succession, and include legal documents and contracts, financial records, and other rights-and-interests records" (Society of American Archivists *Glossary of Archival and Records Terminology*).

w. Maps, prints and architectural drawings documenting the physical changes and development of the University.

x. All books published by The University of Akron Press as well as promotional materials, but not drafts or proofs.

y. Brochures and ephemera relating to campus events such as concerts, art exhibits, plays, etc.

z. Artifacts and memorabilia relating to the history of The University of Akron, especially those of great importance and manageable physical size and condition. Due to severe space constraints, University Archives usually only collects small items such as buttons, pennants, and memorabilia (larger

artifacts will be considered depending on significance). Most trophies and plaques are no longer accepted except in special circumstances.

2. **Unofficial Records, Papers, and Publications pertaining to The University of Akron**

The unofficial records encompass those records, papers, and publications generated or received by individuals and organizations that are usually in some way affiliated with The University of Akron. Unofficial records, papers, and publications include:

   a. Non-current records of University of Akron affiliated organizations

   This category includes faculty bodies, student organizations (clubs, sororities, fraternities, and social groups), alumni groups, retiree groups, bargaining units, and UA support organizations.

   Types of materials sought from UA-affiliated groups include:

        i.   Founding documents (charters, constitutions, bylaws)

        ii.   Meeting minutes

        iii.   Correspondence

        iv.   Publications (newsletters, brochures, magazines, etc.)

        v.   Photographs

        vi.   Scrapbooks

   In addition to the materials listed above, records documenting the employer-employee relationship at The University of Akron sought by University Archives including union materials such as contracts and union newsletters.

   b. Publications of University of Akron Faculty, Staff, Students, and Alumni

   Monographs authored or co-authored by University of Akron faculty during their tenure at the University are actively sought by University Archives. Due to severe limitations in storage space, an increase in the number of faculty at the University in recent years, and the incredible scholarly output of faculty members today, University Archives no longer accepts journal articles and similar publications from recent faculty members. However, these publications may be included in faculty papers if the papers warrant inclusion in University Archives (see criteria below in c.). Older faculty journal articles and similar publications that are already a part of University Archives will be maintained with the Faculty Publications Collection.

University Archives does not actively collect publications of University of Akron alumni and staff. However, University Archives will consider monographs authored by UA alumni and staff if donated and depending on the prominence of the alumnus or staff member and the importance of the publication. Alumni are defined as graduated individuals with earned degrees from The University of Akron or its predecessor institutions. Self-published materials will usually not be considered for inclusion in University Archives. Due to severe limitations in storage space, University Archives does not collect journal articles and similar publications authored by UA alumni and staff. However, these publications may be included in alumni or staff papers if the papers warrant inclusion in University Archives (see criteria below in c.).

Publications of University of Akron students including official copies of all theses and dissertations are actively collected by University Archives. These are non-circulating archival copies that are available for use in Archives and Special Collections; circulating copies are available at Bierce Library and the Science & Technology Library.

c. Personal and Professional Papers of University of Akron Faculty, Staff, Students, and Alumni

As an important part of its mission of documenting the internal life and culture of the University community and placing it in a broader societal context, the Archives seeks to acquire, organize, and make available the personal and professional papers of selected University of Akron faculty, staff, students, and alumni. Faculty and staff papers offer insight into the history of the operation of the University that otherwise may be lost by relying only on official administrative records. They reveal professional interests and opinions that frequently clarify matters mentioned in the official records of the University. Alumni papers document the contributions of University of Akron alumni to society and offer insight into the quality and application of the education at The University of Akron. Student papers document the life of students while enrolled at The University of Akron and offer a view into the social and cultural experiences of the University through the eyes and experiences of its students.

Personal papers may contain sensitive information relating to privacy and confidentiality. Donors may choose to impose reasonable restrictions upon his or her papers for a reasonable period as determined by mutual agreement between the donor and the University Archivist. Restrictions on access are for a fixed term and are determined at the time of donation. The Archives does not usually accept agreements that restrict access to material for the lifetime of any person or persons or agreements that are difficult or impossible to administer. It encourages minimal access restrictions consistent with the legal rights of all concerned.

The available storage space and staffing at Archives and Special Collections place limitations on the extent of collecting faculty, staff, student, and alumni papers. While attempting to acquire a broad range of personal and professional papers, the Archives must be selective.

The following criteria are applied when evaluating and soliciting professional papers from the faculty:

i.   National or international reputation in one's academic field

ii.   Record of one's service with the University and contribution to its growth and development

iii.   Service and contribution in the community, state, and national affairs

iv.   The scholarly and research contributions of the faculty member and their academic rank, such as faculty members who have achieved Full Professor or Distinguished Rank status at UA

v.   Major awards, quality of publications, election to prestigious societies, appointment to prestigious national or international advisory committees

The following types of documentation reflect and illuminate the careers of the University faculty and are sought by the archives:

i.   Correspondence—official and professional

ii.   Records relating to service outside the University including community, state, and national service

iii.   Biographical material—biographical sketches, resumes, bibliographies, chronologies, genealogies, newspaper clippings, and personal memoirs

iv.   Photographs and graphic materials

v.   Audiotape or videotape recordings of lectures, speeches, and discussions.

vi.   Class lecture notes and syllabi

vii.   Research files

viii. Departmental or committee minutes and records

ix.   Drafts and manuscripts of articles and books written. University Archives may also consider original visual and moving image materials and music scores or theatrical productions of which faculty are the main creators

x.   Diaries and personal reminiscences.

The University Archives collects the professional and personal papers of eminent alumni relating to their experiences at The University of Akron or alumni with a distinguished or outstanding record in research and service. Alumni are defined as graduated with earned degrees from The University of Akron or its predecessor institutions. As with faculty papers, the University Archives collects selectively in this area. The following criteria are applied when evaluating and soliciting personal and professional papers from alumni:

i.   The overall contributions of the alumnus to his or her profession; alumni who have received major awards in their fields are obvious choices

ii.   Whether the papers reflect upon the history and culture of UA; for example, a noteworthy professional photographer who has created images of the UA campus and events over time

iii.   Whether the papers reflect upon and contribute to the understanding of a particular research strength of UA; for example, a prominent alumnus who worked in the rubber or polymer industry

The following types of documentation reflect and illuminate the careers of the University alumni and are sought by the archives:

i.   Professional correspondence

ii.   Photographs

iii.   Diaries and personal reminiscences

iv.   Oral histories

v.   Biographical information—biographical sketches, resumes, bibliographies, chronologies, genealogies, newspaper clippings, and personal memoirs.

vi.   Drafts and manuscripts of articles and books written. University Archives may also consider original visual and moving image materials and music scores and theatrical productions of which alumni are the main creators

University Archives seeks to collect materials that describe or document student life at The University of Akron. Items sought include:

      i.   Scrapbooks

      ii.   Diaries and personal reminiscences

      iii.   Letters documenting student life on and off campus

      iv.   Oral histories of former students documenting their experiences on campus

      v.   Personal photographs of campus and student life

      vi.   Personal artifacts including pins, uniforms, and sports items may be considered

      vii.   Materials that document social activities and campus events such as dances, club activities, etc.

d. Records, Papers, and publications documenting the history of The University of Akron generated or collected by organizations and individuals not associated in any way with The University of Akron. This category may include, but is not limited to:

      i.   Published books and articles on some aspect of University history

      ii.   Theses and dissertations on an aspect of University of Akron history written to fulfill degree requirements at other colleges and universities

      iii.   Reports and studies of The University of Akron conducted and created by outside organizations

3. Items not typically collected by University Archives:

In addition to the materials listed above in VII, the following types of materials are typically not accepted from campus offices and UA-affiliated organizations and individuals:

a. Records pertaining to other individuals or family members or other organizations including other individuals' or organization's personnel records (including search committee material); note that personnel records have very specific retention and disposition according to the UA Records Retention Schedule

b. Reference material (articles, books, etc. written by other people and organizations)

c. Duplicates and multiple copies of publications, course materials, class handouts, etc. Generally only the original and heavily annotated copies are of value

d. Research notes and data, bibliographic notes and notes on readings

e. Records of students taught (grade books, class rosters, exams, term papers, etc.); note that student records have very specific retention and disposition according to the UA Records Retention Schedule

f. Student tests and test results

g. Student term papers (unless they document some aspect of University or local history that is not captured in the repository)

h. Diplomas (unless of a significant alumnus, first or early graduate, etc.)

i. Large artifacts and three-dimensional objects such as desks, chairs, building components (doors, windows, architectural elements, etc.—a brick or two or small architectural fragments from a historic campus building may be acceptable), statues, gifts, etc.

j. Draft copies of plans and reports

k. Student papers other than theses or dissertations are usually not collected

l. Student academic records, which are administered and maintained by the Registrar's Office.

Appendix C: Sample Transfer Guidelines and Form

The University of Akron University Libraries Archives and Special Collections
Records Management Guidelines
Subject: Records Transfer to Archives and Special Collections
Form: A-001   Revision Date: 3/23/2022   Page No. 1 of 2

Pursuant to Board of Trustees Rule 3359-11-11 the following guidelines have been created to explain the process to transfer boxes of inactive university records to Archives and Special Collections of University Libraries for appropriate storage and retention per The University of Akron Records Retention Schedule.

1. **Record Boxes:**
    Only boxes of standard legal/letter size (12in. x 10in. x 15in.) will be accepted by Archives and Special Collections. The office of origin sending boxes to Archives and Special Collections for storage is responsible for obtaining its boxes. If an irregular size box is necessary, contact the University Records Manager at 330-972-8182 or hkempseverence@uakron.edu.

2. **Forms:**
    Prior to sending records to Archives and Special Collections, a Records Transfer Form, Form # RM-001, must be completed for each box. Forms are available at https://www.uakron.edu/libraries/archives/records-management/employees/transfer.dot or by contacting the University Records Manager at 330-972-8182 or via email at hkempseverence@uakron.edu.

3. **Instructions for completing the form:**
    Each form has four sections. The top section details the contact's name, the office of origin name, date, contact phone number and location. The bottom three sections are used to describe the contents of the record box(es).

    i.   **Dept. Box No**. - This field is made up of the current year, month, and day, plus a sequential box number for each box being shipped (i.e. 2022-01-01-01 would equate to Year = 2022, Month = January, Day = 1st day of the month and 01 = the first box in this transfer, etc.)

    ii. **Retention Code** - The information to be entered in this field is found on the Records Retention Schedule on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/Records%20Retention%20Schedule%20updated%2011-29-2021.pdf.

    iii. **Date Range (From)** and **Date Range (To)** - These dates should represent the oldest and newest records inside the box. If the records are part of a larger collection of records in more than one box, such as a project, the dates for the entire project should be represented on the form for each box.

The University of Akron University Libraries Archives and Special Collections
Records Management Guidelines
Subject: Records Transfer to Archives and Special Collections
Form: A-001   Revision Date: 3/23/2022   Page No. 2 of 2

iv. **Inactive Date** - This date should represent the latest date of activity by the office of origin for the records. It will often be the same as the "Date Range To" field.

v. **Title of Series** - The information to enter in this field is found on the Records Retention Schedule on the Office of General Counsel's website at https://www.uakron.edu/ogc/legal-policies-and-procedures/records/Records%20Retention%20Schedule%20updated%2011-29-2021.pdf.

vi. **Record Description** - The information in this field further describes the type of records and the content of each specific record box (i.e. Student name: Adams to Brown or Cash Receipts: 2009 to 2017, etc.)

4. **Completed Forms:**
   Once the forms are completed, please write the Dept. Box No. on the outside of each box. Make two copies of the form(s); keep one copy for your records, place the other copy in the box, and send the original form(s) to the University Records Manager via email at hkempseverence@uakron.edu. Once the original forms are received, the Records Manager will review the forms and either approve the shipment to Archives and Special Collections or contact the office of origin with further details as to why the shipment is not approved.

Records Management

Records Transfer Form

330-972-8182

Name: UA Employee Name   **Office of Origin:** Office Name

Date: _____   **Phone:** _____   **Location:** _____

Dept. Box No.: _____   **Retention** Code: _____

Date Range (From):
mm/dd/yyyy _____   **Date Range (To):**
mm/dd/yyyy _____   **Inactive Date:**
mm/dd/yyyy _____

Title of Series: _____

Record Description: _____

Dept. Box No.: _____   **Retention** Code: _____

Date Range (From):
mm/dd/yyyy _____   **Date Range (To):**
mm/dd/yyyy _____   **Inactive Date:**
mm/dd/yyyy _____

Title of Series: _____

Record Description: _____

Dept. Box No.: _____   **Retention** Code: _____

Date Range (From):
mm/dd/yyyy _____   **Date Range (To):**
mm/dd/yyyy _____   **Inactive Date:**
mm/dd/yyyy _____

Title of Series: _____

Record Description: _____

Form # RM-001

Appendix D: Sample Disposition Guidelines and Report

The University of Akron
University Libraries
Archives and Special Collections
Records Management Guidelines
Subject: Records Disposition
Form #:   A-002   Revision Date: 3/23/2022   Page No. 1 of 1

Pursuant to Board of Trustees Rule 3359-11-11 the following guidelines have been created to explain the process to approve the disposition of university records that are due for destruction, according to the UA Records Retention Schedule, or to provide rationale that justifies a change in the mandated disposition of these records.

1. **Office of Origin**:
   Listed on the Records Disposition Report # RM-004 are the records due for destruction. This report will be sent from the University Records Manager to each office of origin when records that are being stored at Archives and Special Collections of University Libraries are due for destruction under the UA Records Retention Schedule. Each office of origin head will need to review the report and approve, sign, and date in the spaces provided, thus approving the destruction of the records. Once signed by the office of origin, the completed report is to be returned to the University Records Manager to be forwarded to the Office of General Counsel for review and approval.

   If for any reason the destruction of these records needs to be delayed, the office of origin must indicate this in the "Reason for Delay" section of the report and return the report to the University Records Manager. If the report cannot be approved, contact the University Records Manager at 330-972-8182 or hkempseverence@uakron.edu. Information pertaining to the legal retention periods for university records is found on the UA Records Retention Schedule on the Office of General Counsel's website: https://www.uakron.edu/ogc/legal-policies-and-procedures/records/Records%20Retention%20Schedule%20updated%2011-29-2021.pdf.

2. **Office of General Counsel**:
   Upon receipt, the Office of General Counsel will review the approved report. If the destruction of the records is approved pursuant to the UA Records Retention Schedule, the approved report will be signed and forwarded to the University Records Manager. If the Office of General Counsel does not approve the disposition report, the Office of General Counsel will discuss with the office of origin and the University Records Manager.

3. **University Records Manager and University Archivist**:
   Upon receipt of the approved report from the Office of General Counsel, the University Records Manager and the University Archivist will review the Records Disposition Report. If the University Archivist approves the destruction, the University Records Manager will schedule destruction of the records detailed on the report. Once the destruction of the records is complete, the University Records Manager will sign the report as the final step of the destruction process. If the report is not approved, the University Archivist will notify the University Records Manager and note the reason on the form (i.e. the records are archival and must be permanently retained, the records have not met their retention requirements, etc.).

Records Disposition Report

Name: **Employee Name**   Office of Origin: [   ]   Phone: [   ]

According to the approved UA Records Retention Schedule the records listed on the detail portion of this report have fulfilled their retention requirement and are eligible for destruction. Please approve the destruction of these records unless a reason to delay exists. If the destruction is to be delayed, please provide the reason in the space below marked "Reason for Delay"

Reason for Delay

Destruction Authorization

Office of Origin Head: [   ]   Date: [   ]

Associate General Counsel: [   ]   Date: [   ]

Destruction

The University Archivist's signature below certifies approval of the destruction of the records listed on the detail portion of the report and the Records Manager's signature certifies that these records have been destroyed.

University Archivist: [   ]   Date: [   ]

Records Manager: [   ]   Date: [   ]

Appendix E: File Naming Conventions Guidelines for Electronic Records at The University of Akron

In order to properly manage and maintain electronic records and to ensure that they are accessible when needed, it is recommended that each office at The University of Akron that creates or receives electronic records set up appropriate file structures with file naming conventions and be consistent in following the file schema and naming conventions. A file naming convention is defined as "a framework for naming your files in a way that describes what they contain and how they relate to other files" (Harvard Medical School "File Naming Conventions"). Some offices may find it helpful to create a working group to review the types of electronic records in their office and develop and document appropriate naming conventions. The guidelines in this document, which are based on national standards and best practices, are highly recommended when naming electronic files and folders to ensure the proper management of the University's electronic records and to facilitate retrieval, disposition, and archiving. However, every rule may not apply to every office or every situation at the University and therefore some modifications may need to be made when applying these general guidelines to find file naming practices that work best in those specific environments or situations.

Electronic records are defined as "data or information that has been captured and fixed for storage and manipulation in an automated system that requires the use of the system to render it intelligible by a person" (SAA *Dictionary of Archives Terminology*). While the term electronic record most often refers to records created in electronic format (i.e. born digital), it can also refer to scans or digital surrogates of hard copy (i.e. analog) records. Examples of electronic records include documents, spreadsheets, databases, images, video, and audio, as well as other file types. While the examples in these guidelines focus primarily on documents, the standards outlined below apply to all file formats.

The guidelines found here were based on the following documents:
- National Archives and Records Administration (NARA) "Best Practices for File Naming" (https://records-express.blogs.archives.gov/2017/08/22/best-practices-for-file-naming/)
- The University of Akron Archives and Special Collections "Naming Conventions for Files and Folders in SharePoint"
- The Ohio State University "File Naming Best Practices Tip Sheet"
- North Carolina Department of Natural and Cultural Resources "Best Practices for File Naming" (https://files.nc.gov/dncr-archives/documents/files/filenaming.pdf)
- Harvard Medical School "File Naming Conventions" (https://datamanagement.hms.harvard.edu/collect/file-naming-conventions)

Since most offices utilize a network server such as SharePoint or OneDrive to store files so that they are accessible from multiple locations by various users, it is important that file names (as well as folder structures) are clear to everyone in the

department in which the file was created and will be used and makes sense to more than just the files creator, as well as for future users, including the University Records Manager and University Archivist. As a general rule of thumb, electronic file and folder names in University shared drives should be clear and concise, yet include sufficient description for the file to stand on its own, independent of where it is stored. General elements of a file name include:

- Who/what does it represent?
  - This should be the Group, College/Department, Unit, Person, Case/Project that created the file or that the file relates to or documents
  - Examples include Executive Committee, University Council, AAUP, Department Heads, School of Communications, Department of History, etc.
- What is it?
  - This should be the document type, not file format
  - Examples include Minutes, Agenda, Annual Report, Newsletter, Photographs, etc.
- When?:
  - This is the date of what is represented
  - Examples include October 21, 2019, January 2022, Fall 2021, etc.
- Example: Exec_Comm_Minutes_2019_10_21

         [Who]   [What]   [When]

In addition, electronic file names should adhere to the following conventions:
- Alphanumeric name with no dashes or special characters. In other words, use numbers and/or letters but not characters such as symbols (: * ? < > { } [ ] ; ! @ # & % $), spaces, or periods that could result in errors or cause complications across operating platforms
- Unique names that are consistently structured
- Not tied to anything that changes over time or location
- Limit character length to no more than 25-35 characters, if possible, but do not use too many abbreviations that others will not understand
- Use underscores to separate words and in place of dashes and spaces. However, dashes are now considered acceptable due to how underscores look in a link
- Capitalize the first letter in each word for readability; otherwise use lowercase letters. For example, "File_Name_Convention_001.doc"
- Not use an overly complex or lengthy naming scheme that is susceptible to human error during manual input, such as "filenameconventionjoesfinalversioneditedfinal.doc"
- Use leading zeros to facilitate sorting in numerical order if following a numeric scheme by using consecutive numbers in this format (0001, 0002, 0003).
- Similarly, use leading zero for version notation: v01, v02 instead of v1, v2
- Use international standard date notation (YYYY_MM_DD). For instance, 2021_09_24 for September 24, 2021. Alternatively, when a day is not available use the month or term, such as 2021_09 or 2021_Fall

- Place date at end of file name for easier sorting
- Contain a file format extension. Use a period followed by a file extension (for example, .doc, .tif, .jpg, .gif, .pdf, .wav, .mpg)
- Consistency is truly key: spelling, abbreviations, order, date format/placement