

DEPAUL
UNIVERSITY

OFFICE OF THE SECRETARY

Department of Records Management



DePaul University
Records Management Manual
October 1, 2016

A Note from the Director

October 1, 2016

Dear Community Member,

On behalf of the Department of Records Management, I welcome you to our vibrant DePaul University community. As the largest Catholic institution of higher education in the nation, we are fortunate to offer our diverse student population with first-rate resources and robust services. As we strive to meet the goals set forth in [Vision 2018](#) and provide our student body with a superior education, it becomes apparent operating an urban institution of our size is no easy feat. As such, the need for a visible, relevant Records Management program is required to support the demands of our community.

What is Records Management, you might ask? Well, you've come to the right place! This document, in addition to a whole host of other job aids, support and training offerings are available through the Department of Records Management to help educate and support you in meeting the legal and institutional requirements of the DePaul University Records Management Policy. So, take a moment to read through this document and do not hesitate to reach out to our staff if you have any questions, comments or concerns. Our staff is available and ready to assist you in keeping DePaul University running smoothly and safely.

Again, welcome to DePaul University! Our staff looks forward to working with you in the near future.

Warmly,



Todd D. Kleine, PMP, CRM
Director of Records & Policy Management



Department of Records Management

Portfolio of Services

Records Management Policy

To ensure the safety, security and authenticity of all DePaul University records, the Records Management Policy outlines the responsibilities of program units with regards to university records compliance. The Department of Records Management is the steward of this policy, ensuring its contents are relevant and timely as they relate to the DePaul University community.

Records Retention Schedule

As a functional extension of the Records Management Policy, the DePaul University Records Retention Schedule documents the responsible department and retention period for all known records at the university. This document is frequently updated with new records series and retention periods. All entries on the Records Retention Schedule are approved by the department, Records Management and Office of General Counsel.

RecordsU™ Training Opportunities

With a strong commitment to records and information management education, the Department of Records Management created the RecordsU™ training program in 2012. After completing just four courses (either in person or online), staff or faculty members will become an “Official DePaul Records Coordinator.”

The current offering of training modules include:

- Introduction to Records Management
- Disposing of Old Records
- File Plan Development
- Filing Best Practices
- Scanning 101
- Shared Drive Organization

ImageNow™ (Perceptive Content) Program Management

In conjunction with the Information Services department, the Department of Records Management manages ImageNow™, DePaul University’s approved electronic records management systems. Working through the entire project lifecycle, the Department of Records Management helps program units go from “paper to paperless.”



File Storage & Destruction

Through a partnership with R4 Services, the Department of Records Management provides access to off-site record storage. Additionally, R4 Services provides deeply discounted shred bins to interested program units. Twice a year, the Department of Records Management sponsors *Fun File Days*. During this two week event, R4 Services shred bins are provided and removed at no cost to interested departments.



Records Coordinator Program

In order to ensure the message of records & information management at DePaul University reaches the community, the Department of Records Management regularly interacts with departmental records coordinators. Whether assigned or official, members of university departments receive regular updates on policy changes, invites to appreciation brunches and a whole host of other educational opportunities.

Shared Space Consultations

As another form of support for electronic records management, the Department of Records Management provides free consultation and clean-up sessions for departments grappling with an unruly shared space environment.

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1.0 Introduction

This Records Management Manual provides university offices with procedures based on best practices for the management of university records. The foundation of our records management program is the implementation of the Records Retention Schedule that will facilitate effective recordkeeping and result in more efficient space planning. The proper use of the Records Retention Schedule will also help ensure the satisfaction of DePaul's legal and compliance requirements for managing records.

In addition, this manual also provides guidelines for DePaul University offices in defining their internal records procedures and thereby serves as a framework for establishing consistent and reliable university recordkeeping practices.

1.1 What is records management?

There are many, though similar, definitions of records management. One common one is "the field of management responsible for the systematic control of the creation, maintenance, use, and disposition of records." A records management program includes:

- Records management policies and procedures.
- Skilled staff.
- Recordkeeping systems and tools.
- Advice and training in records management.
- Records management performance monitoring and review by the Office of Institutional Compliance.

Records management addresses the life cycle of records, i.e., the period of time that records are in the custody of University offices. The life cycle usually consists of three stages:

- Creation or receipt.
- Maintenance and use.
- Disposition.

1.2 What are the benefits of records management?

Records are created and maintained by university offices as a by-product of conducting business. Records are evidence of what happened, why, and by whom. They are valuable university assets, which by their retention and reuse, can improve both the efficiency and effectiveness of university operations.

Records also support accountability, which means being able to provide an explanation or justification, and accept responsibility, for events or transactions. Accountability is both internal and external to the university including delegation of responsibility to staff and reporting to external entities.

A records management program provides:

- Volume reduction and cost control with reducing costs associated with the storage of records that have met their retention period and can be destroyed in the normal course of business.
- Access to information with improved records retrieval.
- Identifying records of continuing value to the university.
- Litigation risk management in minimizing discovery costs with prompt and accurate responses to litigation discovery requests.

1.3 What is a record?

A record is any recorded information, regardless of storage media or format, created, received, or maintained as evidence and information in conducting business. A record can be in any format or any media, including paper, microfilm, and electronic. A record provides evidence of university activities.

Examples of records include:

- Official Records
- Unofficial Records
- Student applications
- Policies and Procedures
- Contracts
- Committee minutes
- Budgets
- Reports

1.3.1 What is an official record?

An official record is the complete (final) and most authoritative record that is required to be retained for business or legal reasons. Official records provide evidence of DePaul University's organization, business activities, decisions, procedures, operations, and internal or external transactions and reflect DePaul's intent to preserve such information.

Examples include:

- The records maintained in an employee's file by Human Resources or Academic Affairs.
- The University Budget created and maintained in the Finance Department.
- Expense reports maintained by the Accounting Department.
- Policies and procedures maintained by the Office of the Secretary.
- Student Transcripts maintained by the Office of Student Records

The "official retention period" identified in DePaul's Records Retention Schedule (see Section 2 in the Records Management Manual) applies to Official Records.

1.3.2 What is an unofficial record?

Unofficial records have no legal or business requirements to be retained. These records may include duplicates or "convenience" copies of official records or records used for reference purposes. Unofficial records should be disposed of as soon as they have met their immediate business need, **but never kept longer than the responsible department on the Records Retention Schedule.**

Examples include:

- Copies of employee records, department budgets, invoices, and expense reports maintained for reference in a department.
- Drafts of documents superseded by the final record.

1.3.3 Can an unofficial record become an official record?

In a legal proceeding, a copy of a record, which is considered an unofficial record, can be used in court in the same way as the original or official record. Legal discovery requests may compel the production of any or all draft documents that are not considered official records. To prevent the required production of unofficial records:

- Ensure that unofficial records are not kept longer than the retention period for the official record.
- Dispose of duplicate records when they are no longer useful.

1.4 Why is it important to create and manage records?

Virtually every aspect of the university's business depends upon records. Some records are created automatically as a part of doing business. For example, when an e-mail message is used to transact business a record is created and should be retained as evidence of that business action. Human Resources maintain employment applications as records to document an employment activity and to satisfy legal and regulatory retention requirements. Other transactional business activities where records are routinely created include sending invoices, executing contracts, and issuing reports.

Other university activities do not routinely create records. For example, meetings of boards and committees do not generate records, but minutes are deliberately created to document board and committee actions. For those activities that do not necessarily result in the creation of records, a record should be created.

Records can be created in any format and stored in various media. Many university records are paper documents; however, in today's work environment most records are created electronically and therefore may exist digitally and, oftentimes, printed on paper. Hence university recordkeeping systems maintain records in various media, including paper, microfilm, optical media, and magnetic tape.

To provide credible evidence of university decisions, it is important to create and maintain complete and accurate records.

2.0 The Records Retention Schedule

DePaul's Records Retention Schedule is a policy document that defines standard, legally approved retention periods and disposition instructions for official records regardless of storage media. In other words, the DePaul's Records Retention Schedule applies to official records, including paper records, electronic records, and microfilmed records.

The purpose of university Records Retention Schedule is to ensure that official records are:

- maintained for as long as they are needed to satisfy legal, regulatory, and operational requirements.
- obsolete records are disposed of in a systematic and controlled manner.
- records of continuing value are identified for preservation.

The University Records Retention Schedule is available on the University Records Management intranet site.

2.1 The organization of DePaul's Records Retention Schedule

Record Group Number:

A unique identifier for each record group listed on the Records Retention Schedule.

Responsible Department:

The department responsible for the retention and disposition of the official record described on the Records Retention Schedule.

Records Group:

The category of official records.

Retention Event:

This event represents the base date upon which the retention period is calculated.

Retention Period:

The minimum retention period for the records group.

Retention Authority:

The determining legal, regulatory, guideline, or other authority for the retention period.

Dispose:

Recycle or dispose of records with other waste paper.

Shred:

Destroy records in a manner which protects sensitive or covered data.

Permanently Retained:

The department responsible for the long-term retention of the records.

Send to University Archive:

Transfer to the University Archives when the records are superseded or no longer needed for operational use (inactive), whichever is longer.

2.2 Amending the Records Retention Schedule

The DePaul University Records Retention Schedule was created by a multi-unit Steering Committee and approved by the Records Management Committee. The retention guidelines specify how long records are to be kept. Records retention periods address fully DePaul's legal, regulatory, and operational requirements as determined through consultation and collaboration with the Legal Department in addition to other knowledgeable and accountable personnel in appropriate university offices.

It is expected that amendments will need to be made to the Records Retention Schedule to comply with changes in legal, regulatory, or operational requirements. The Director of Records Management will notify the Records Management Committee of amendments that should be made to the Records Retention Schedule. In addition, Legal, Internal Audit, and the Office of the Secretary will notify the Director of Records Management of any changes that affect DePaul University's obligations regarding the retention of records.

The Records Management Committee will be responsible for approving any necessary amendments to the Records Retention Schedule. The Director of Records Management will then update and issue a revised Records Retention Schedule.

3.0 Implementing the Records Retention Schedule

3.1 Records destruction

DePaul manages several categories of records destruction:

- Disposal of unofficial records and non-records.
- Destruction of records subject to the University's Information Security Policy.
- Destruction of all other official records.

3.1.1 Disposal of unofficial records and non-records

DePaul University's Records Retention Schedule identifies official records regardless of storage media and establishes their retention requirements. Employees create and maintain other records that are unofficial records not governed by the Records Retention Schedule and thus may be destroyed when the record is no longer needed for reference use. Unofficial records should not be maintained longer than the official record.

Unofficial records include the following:

- Duplicates of official records not required to be retained for business or legal purposes.
- Informational copies or duplicates of records that have been captured in a recordkeeping system and have been maintained for reference purposes, such as copies of correspondence, memos, and reports.
- Duplicates of internal publications used for reference purposes, such as brochures and other collateral material.
- Documents that do not reach the status of records because they do not provide evidence of a business action. For example, an employee creates a draft agreement that is not sent, thereby not executing a business action. This documentation is commonly referred to as "nonrecord" material and thus not identified in the Records Retention Schedule. Drafts or versions of documents, therefore, can be destroyed when the final record is captured in a recordkeeping system.
- External documents and publications, such as trade journals and catalogs, which are not supporting documentation of business action, are also nonrecord material and may be destroyed when no longer referenced.

3.1.2 Destruction of records subject to the University Information Security Policy

Records, both paper and electronic, subject to the University's Information Security Policy (<http://policies.depaul.edu/policy/policy.aspx?pid=132>) must be destroyed according to procedures outlined in the policy to ensure the security and privacy of the records.

3.1.3 Destruction of all other official records

The following procedures apply to official records stored by university offices and not subject to the University Information Security Policy.

Official records that have met the DePaul University Records Retention Schedule requirements and are not subject to legal holds should be destroyed according to the retention instructions on the Records Retention Schedule.

3.1.3.1 Records Destruction Certification

Once official records listed on the Records Retention Schedule have satisfied their required retention period and they are not subject to a legal hold, the department's records coordinator must complete a Records Disposal Certificate form prior to shredding, destroying or disposing of the records. This form is used to document the records that are being proposed for destruction and, ultimately, the date of their destruction. The Records Disposal Certificate is available on the Records Management website.

Prior to destroying or disposing of any official records, the Records Disposal Certificate must be approved by the Director of Records Management and the Office of the General Council. The Certificate must be submitted to the Director of Records Management who will present it to the Office of the General Council. Once the approved Certificate is returned to the originating office, the records listed on the Certificate may then be destroyed. Once the records are destroyed and the records coordinator and his/her supervisor have signed off on the destruction, a copy of the signed Certificate must be sent either via interoffice mail or electronically to the Director of Records Management.

If official records are not listed on DePaul's Records Retention Schedule, contact the Director of Records Management before destroying the records.

3.1.3.2 Destruction method

Records of a confidential or proprietary nature and records listed on the Records Retention Schedule with an Action to be Taken of Shred/Destroy must be shredded, destroyed, purged or deleted in a confidential and secure manner. The Department of Records Management recommends that departments utilize the shredding and destruction services of the University's third party destruction vendor for efficiency and security reasons. Contact the Department of Records Management for assistance with using the third-party destruction company.

Records that do not contain confidential or proprietary information or are listed on the Records Retention Schedule with an Action to be Taken of Dispose may be disposed of by means of regularly established departmental practices for handling recyclable or waste paper.

3.2 Transfer to the University Archives

During the course of conducting business, DePaul University creates and maintains countless records. Most of them must be retained for only a short period of time as defined in DePaul's Records Retention Schedule, but some records need to be retained long-term because of their continuing value to the DePaul. These archival records are preserved because they:

- Enable better quality planning, decision making, and action by providing continuity, access to past experience, expertise and knowledge, and a historical perspective.
- Provides a source for understanding DePaul's history.

The University Archivist will review the DePaul University Records Retention Schedule to identify records of continuing value and provide records transfer procedures to university offices. Records Coordinators who have questions about how to transfer documents to the University Archives should contact the University Archives directly. Records that are designated as "Send to University Archives" should be transferred to the University Archives once they are no longer needed by the originating department in order to do business.

4.0 Suspension of the Retention Schedule

When legal action involving the University is commenced or reasonably anticipated, the University has a duty to preserve all documents and information that may be relevant to the matter. As such, as soon as the Office of the General Counsel (OGC) is made aware of circumstances that give rise to the duty to preserve, a "Legal Hold" directive will be issued to key individuals who may be in possession of records that fall within the scope of the Legal Hold. See Legal Hold and Record Preservation Policy.

When the OGC issues a Legal Hold, all regularly scheduled destruction of any records that fall within the scope of the Legal Hold must be suspended immediately. Records that are under a Legal Hold cannot be destroyed even when permitted by DePaul University's Records Retention Schedule.

The OGC is the only office with the ultimate authority to issue or release a Legal Hold that suspends the retention requirements for records. However, the OGC may work with the Records Management Department to develop procedures for communicating with key individuals and Record Coordinators regarding the initiation and release of Legal Holds. The Records Management Department will maintain a listing that details the status and progress of Legal Holds.

Individuals who have been notified of a Legal Hold may not transfer, dispose, alter or destroy any document or information that falls within the scope of the Legal Hold. Violation of the Legal Hold may subject the individual to disciplinary action, up to and including dismissal for employees, as well as potential legal sanction by the applicable court or law enforcement agency.

4.1 Initiation of Legal Holds

As soon as the OGC is made aware of circumstances in which it is necessary to initiate a Legal Hold, the OGC will issue that hold directive to the key individuals who may be in possession of records that fall within the scope of the Legal Hold. This Legal Hold directive will, among other things, describe the subject matter scope of the records to be preserved. See Legal Hold and Record Preservation Policy.

Additionally, the OGC will notify the Director of Records Management that a Legal Hold has been issued. The OGC will communicate to the Director of Records Management (a) the individuals who are impacted by the Legal Hold and (b) the subject matter scope of the records to be preserved in accordance with the Legal Hold.

In consultation with the OGC, the Director of Records Management will work with (a) the individuals who are in possession of documents subject to the Legal Hold; (b) the appropriate Records Coordinators; and, (c) Information Services to coordinate the initial and ongoing implementation of the Legal Hold. This coordination could include distributing Data Surveys to locate records that fall within the subject matter scope of the hold, communicating preservation instructions or other training as needed, and monitoring ongoing compliance with the Legal Hold.

4.2 Scope of Legal Holds

Legal Holds apply to all records repositories that may contain records that are subject to a Legal Hold. These potential sources of records that fall within the scope of the Legal Hold could include, but are not limited to:

- (a) Email messages and their attachments: (these may be in mailboxes stored on network mail servers, individual archived messages (PST files) on file servers or personal computers, individual message files stored on file servers or personal computers, or on mobile devices such as blackberries, PDAs and cell phones, or printed hard copies);
- (b) User created files such as word processing documents, spreadsheets, and image files which may be stored on the hard drives ("C Drives") of personal computers and workstations, individual network drives ("U Drives"), or network share drives ("W Drives");
- (c) Hard copy files;

- (d) DePaul database systems (e.g., PeopleSoft);
- (e) Other information held or stored in locations as determined by the results of individually conducted "Information Surveys": (these may include for example, information stored on CD-ROM or DVD, thumb drives, removable hard drives, magnetic media, home computers, internet servers, etc.); and
- (f) Other electronic or "hard copy" information stored in electronic or hardcopy format that are under the custody or control of DePaul.

As indicated above, no records that are subject to a Legal Hold may be considered for destruction until the Legal Hold is removed by the OGC, as communicated to the Department of Records Management.

The Director of Records Management will monitor all reports and listings of records to be considered for destruction to ensure that no records that are subject to a Legal Hold are included in those reports or lists.

The Director of Records Management will periodically review its processes and procedures related to Legal Holds to ensure that they are effective.

4.3 Release of Legal Holds

The OGC is responsible for notifying the Director of Records Management when a Legal Hold can be released. The Director of Records Management will then coordinate with (a) the individuals who are in possession of documents subject to the Legal Hold; (b) the appropriate Records Coordinators; and, (c) Information Services to communicate the processes for releasing the Legal Hold. This process will be appropriately documented to demonstrate that required approval was received from the OGC for the removal of the Legal Hold.

Once a Legal Hold has been released, Records Coordinators are responsible for resuming regularly scheduled destruction according to the DePaul University's Records Retention Schedule. Records will be processed for destruction at the next destruction review date if the records retention period has ended.

5.0 Records Confidentiality, Access, and Security

5.1 Records confidentiality and security

All employees need to be aware of protecting the confidentiality and security of DePaul University's records and preventing unauthorized disclosure to third parties (i.e., persons both inside and outside DePaul University without a need to know). In addition, all employees are responsible for compliance with the DePaul's Information Security Policy as it applies to information and records.

5.2 Records security

The University's Information Security Policy applies to the entire university community. DePaul adopted the Information Security Policy to:

- Ensure the security, availability, privacy, and integrity of DePaul's information systems, networks and data
- Outline procedures for reporting breaches of information security
- Ensure compliance with various federal and state as well s other DePaul information security-related policies and procedures.
- The Information Security Policy can be found at <http://policies.depaul.edu/policy/policy.aspx?pid=132>

6.0 Training

The Department Records Management designs and implements the DePaul University Records Management Training Program, which will ensure that all staff with records roles and responsibilities are trained adequately for duties described in the Records Management Manual. The content of the records management training program will be reviewed periodically and updated to ensure consistency with current DePaul University records policies and procedures.

Training for records management will also be provided throughout the year by the Office of Institutional Compliance and Office of Records Management.

If you and your department would like training regarding records management please contact the Director of Records Management.

7.0 Roles and Responsibilities

7.1 Director of Records Management

The Records Management Office led by the Director of Records Management is responsible for:

- Managing the Records Management Office and implementing a records management program for the university.
- Issuing official updates to the University's record retention schedule.
- Establishing and implementing standards for DePaul University records and recordkeeping practices.
- Issuing and implementing records management procedures and guidelines.
- Educating and training employees on records management policies and procedures.
- Working with the Records Management Committee and executive management to ensure the effective management of the Records Management Program.
- Identifying budget and staff requirements for the Records Management Program.
- Working with the University Archivist to identify records of continuing value to the university.

7.2 Records Management Committee

The Records Management Committee (RMC) is comprised of the Assistant Secretary of the University, the Associate General Counsel or designee, and the Director of Records Management. These standing members of the committee may add members as needed. The Steering Committee is responsible for:

- Approving amendments to the Records Management Policy.
- Reviewing the Records Management Manual as needed to address changes in record keeping practices.
- Ensuring that the Records Management Program is properly maintained and updated.
- Providing guidance to the Records Management Office on records management initiatives and activities.

7.3 Office of the General Counsel

This department has responsibility for:

- Authorizing suspension of the routine destruction of records by issuing legal holds.
- Authorizing the release of legal holds.
- Notifying DePaul's Director of Records Management of significant changes in the law that necessitate a review of DePaul University's records management policies and procedures and the Records Retention Schedule.

7.4 Office of Institutional Compliance & Risk Management

This department assists the Office of Records Management by:

- Monitoring through quality assurance reviews (QARS) offices adherence to Records Management Policies and Procedures.
- Promoting the awareness and understanding of Records Management Policies and Procedures through compliance reviews and training.

7.5 Records Coordinators

Department Records Coordinators are key to the successful implementation of DePaul's records management program whose activities include:

- Participating in records management training.
- Promote the records management program, including the use of the Records Retention Schedule.
- Coordinate the legal hold on records destruction when issued by the Office of the General Counsel.
- Implementing records management policies and procedures within their office.
- Submitting proposed amendments to the Records Retention Schedule to the Director of Records Management.
- Training staff members in their area to perform specific tasks associated with records management policies and procedures.
- Coordinating off-site records storage as needed, and assuring that official records transferred to off-site storage are properly indexed and classified according the DePaul University's Records Retention Schedule
- Acting as a liaison to the Director of Records Management.
- Coordinating and encouraging participation in annual file destruction day.

If your department does not have an assigned Records Coordinator, please contact the Director of Records Management. Additionally, if a department's Records Coordinator leaves his or her position it is the responsibility of the Dean or Vice President of the department to assign a new Records Coordinator and communicate that information to the Director of Records Management.

8.0 Records Policies, Procedures, and Practices

The Records Management Office will issue supplementary records management procedures and guidelines as necessary to promote the proper management of DePaul University records to help ensure compliance applicable records laws, regulations, and best practices and to promote efficient university recordkeeping.

9.0 Records Management Manual Maintenance

It is expected that changes will need to be made to this Manual and the records management policy to take account for changes in legal, regulatory, or operational requirements for records management.

Records Coordinators should notify the Director of Records Management if changes are needed.

The Director of Records Management will notify the Records Management Committee of any proposed amendments that should be made to the Manual and/or Records Retention Schedule. University offices should contact the Director of Records Management to propose any such changes to retention of their office records.

The Records Management Committee will periodically review proposed changes to the Records Retention Schedule for appropriate fit to the organization. In addition, the Records Management Committee will have the retention time periods reviewed through legal and regulatory research as deemed necessary by the committee.

10.0 Revision History

Version	Date	Updated by	Comments
1.0	06/12/2008	Iron Mountain	Initial Creation
2.0	08/28/08	Records Management	Updated section 2.1, 3.1.3.1, and 3.2
2.1	10/13/2009	Records Management	Minor updates to cover page, footers, section 3.2 and 7.5
2.2	6/18/2014	Records Management	Minor updates to cover page, sections 3.1.3.1 and 3.1.3.2
2.3	11/1/2014	Records Management	Minor updates
2.4	10/10/2016	Records Management	Minor updates

Appendix: Definitions

Definitions of Records Management Terms Used in the Procedures Manual

Access: The right, opportunity, means of finding, using, or retrieving information.

Archives: Records that are appraised to have archival or continuing value; the place where archival records are stored; the program responsible for selecting, acquiring and preserving archives, making them available, and approving destruction of other records.

Confidential Records: Records received, created, communicated, transmitted, or otherwise shared in secret or part of a confidential relationship, and will not be disclosed beyond those individuals who have reason to know the contents or existence of the records.

Destruction: The process of eliminating or deleting records, beyond any possible reconstruction.

Disposition: A range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments.

Document (noun): Recorded information or object that can be treated as a unit.

Disposition: The process of removing inactive records from active storage areas for off-site records storage, management in the archives, or for destruction.

Electronic Record: A record created and/or maintained by means of electronic equipment.

E-Mail: An Internet protocol that allows computer users to exchange messages and information in real time with other users, locally and across networks. E-mail is not a particular document type, but a delivery method for many document types. While some e-mail messages may be official records, others are not.

Inactive Records: Records that are related to closed, completed, or concluded activities. Records become inactive when they are no longer routinely referenced but must be retained to fulfill legal, regulatory, operational, or other retention requirements.

Legal Hold: The procedure used to temporarily cease destruction of certain groups of records, even if they are eligible for destruction.

Nonrecord Material: Material or documents not considered to fall within the definition of a record, such as document drafts that have been superseded by official records and external publications, such as trade journals or catalogs that are kept for purposes of reference or convenience. Nonrecord documentation does not appear on a records retention schedule and may be destroyed without authorization.

Official Records: Complete and final records that are required to be retained for business, including legal reasons. Official records provide evidence of DePaul University's organization, business functions, policies, decisions, procedures, operations, and internal or external transactions, and reflect DePaul University's intent to preserve such information.

Record: Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.

Records Management: Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

Records Management Program: A comprehensive plan created for the systematic control of the creation, maintenance, use, and disposition of physical and electronic records. The Records Management Program is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in records creation, maintenance, use, and disposition to achieve adequate and proper documentation of the policies, processes, and transactions at DePaul University.

Records Retention Schedule: A document that identifies and describes DePaul University’s records at a functional level, provides instructions for the disposition of records throughout their life cycle, and assures that records are retained for as long as necessary based on their operational, financial, legal and continuing value.

Retention Period: The length of time records must be kept for legal, regulatory, or operational or other purposes.

Security: Measures taken to protect materials from unauthorized access, change, destruction, or other threats.

Transfer: Change of custody, ownership and/or responsibility for records.

Unofficial Records: Records that are not required to be retained for business or legal reasons. These may include duplicates or “convenience” copies of official records that have not been annotated and may be destroyed when no longer referenced.