



UNIVERSITY
OF ILLINOIS
SYSTEM

ANNUAL REPORT

RECORDS AND INFORMATION MANAGEMENT SERVICES

2021 / 2022

UNIVERSITY OF ILLINOIS SYSTEM

The University of Illinois System is among the preeminent public university systems in the nation and strives constantly to sustain and enhance its quality in teaching, research, public service, healthcare, and economic development.



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TABLE OF CONTENTS

| | |
|-----------------------------|--------------|
| Mission | 4 |
| About Us | 5 |
| FY22 Accomplishments | 6-8 |
| Direct Support | 9 |
| FY23 Objectives | 10-11 |
| Contact Us | 12 |



MISSION

Records and Information Management Services (RIMS) strives to provide a cohesive approach to the effective management of records and information resources throughout the University of Illinois, across all departments and campuses for the purpose of improving operational efficiencies and access to information while being mindful of securing information assets and meeting compliance requirements.

ABOUT US

Recognizing the uniqueness of each university, RIMS works directly to support department-level needs while coordinating guidance and policy development to fill gaps and meet compliance requirements across the entire University of Illinois environment.

We seek out partnerships with individuals from various offices that are focused on securely and efficiently managing our institutional information and data assets with an eye toward continuous improvements in access and reductions in risks. We continually strive to align our guidance with compliance requirements and current best practices and expectations.

We look for opportunities to clarify requirements for managing records and other information assets.

We support the academic mission of the University by participating in applied research projects and by offering experiences to students in the fields of archives and records and information management.



FY22 ACCOMPLISHMENTS

▶ Updated the Human Resources Records Retention Schedule

The University's records retention schedules are a core resource in helping us effectively dispose of records (in both paper and electronic formats) once they are no longer needed. RIMS routinely reviews these schedules looking for opportunities to update and revise as needed. Throughout FY22, RIMS continued to work with subject matter experts and the State of Illinois Records Commission to refine our records retention schedule related to human resources functions. Approved in the Spring of 2022, changes were made to align with updated regulatory requirements and to clarify categories of records which will help units streamline their records management and disposal practices.



▶ Updated Email Management Online Training Module

RIMS continues to provide quick and easy-to-consume online training modules that cover the fundamentals of records and information management. During FY22, we revamped our popular Email Management training module to include information about how to build workflows and inbox rules. This new module also provides tips for filing, searching, and disposing of email.



FY22 ACCOMPLISHMENTS

▶ Drafted Guidance for the Retention of IT-Related Data Elements

RIMS routinely fields questions regarding how long units should retain various IT-related data elements. The standard response has usually been, “It depends”. In an effort to provide more useful guidance, RIMS has embarked on developing a template we call the IT Data Management Plan. The template aims to help IT managers in identifying the various range of IT-related data elements they have responsibility for and establishing expectations for how long they will be retained.

Retention recommendations provided in the template are consistent with those recommended by our peer institutions and cybersecurity professionals industry-wide. Recommendations also align with security policies and practices put forth by the State of Illinois and the University of Illinois System Information Security Standards.

By promoting the establishment of standards around the retention of It-related data elements, we hope to reduce risk and long-term costs by supporting the secure use and handling of data.

Information Technology Data Management Plan for Artifacts and Documents

| | IT Service Management Objects | Recommended Retention |
|---|--|--|
| 1 | <p>Information System’s User Provisioning Records. Includes (but not limited to): Records created to control individual provisioning to a system for administrative and security purposes. Including requests for User identification; User profiles; User passwords Profiles; User authorization or other artifacts related to provisioning.</p> | <p>For non-critical systems: keep three (3) years, for critical systems keep six (6) years past the date of granting or provisioning, separation from the University, removal of access, change in role, or when no longer needed for documented business use, whichever is later. Longer retention is authorized if required for business use.</p> <p>[Non-production systems: 6 months after the destruction of test system containing manufactured data, 1 year after the destruction of a test system containing live data.]</p> |
| 2 | <p>Information System’s Backup and Backup Library Files. Includes (but is not limited to): Copies of master files or databases, Application software, Logs, Backup tapes, Backups of the system software, Offsite storage facilities, and Virtual location directories, and other documentation needed to restore a system in case of a disaster or inadvertent destruction.</p> <p>Exclusion 1: Any system addressed in the Business Continuity Plan or Disaster Preparedness and Recovery Plans. Exclusion 2: Electronic input records are required for audit and legal purposes.</p> | <p>There is no retention schedule for Backups. A Backup should be just that: a backup of data/records kept solely as a security precaution but not intended to serve as the record copy or as a records retention tool.</p> |

FY22 ACCOMPLISHMENTS

▶ Initiated Adobe Sign Validation Project

The Code of Federal Regulations (CFR) Title 21 (Food and Drugs) requires an electronic signature tool to comply with the expectations outlined in Part 11. This project, once completed, will establish Adobe Sign as an approved electronic signature tool that can be used by biomedical researchers at the University of Illinois.

Currently, our biomedical researchers must complete informed consent documents and new drug applications with handwritten signatures. This practice is inefficient, and sometimes impractical in the case of research being conducted in various clinical and remote settings. The validation project, slated to be complete in Fall 2022, will result in making the use of Adobe Sign compliant with FDA requirements governing the use of electronic signatures. In turn, using Adobe Sign will help streamline the flow of paperwork for our biomedical researchers.



▶ Transitioning UIC Records Storage Support

Since 2014, RIMS has been supporting the storage of records for UIC at no cost to the units by using Library space in the Laflin warehouse as a records storage environment. During FY22, we stopped accepting deposits of paper records into the warehouse and began establishing a protocol for working with Iron Mountain.



DIRECT SUPPORT

- ▶ RIMS responded to 429 unique inquiries from 369 distinct units during FY22. Many inquiries focused on gaining a better understanding of records retention requirements while others specifically sought permission to disposal of materials from local storage environments. In some instances, RIMS personnel were asked to provide one-on-one guidance to personnel responsible for coordinating a departmental move or shift in leadership. Some inquiries sought guidance on email management and best practices for information organization.
- ▶ RIMS oversaw requests to dispose of over 13, 300 cubic feet of material (about 537,300 pounds). Having the materials recycled rather than merely tossed into the trash, can be counted toward reducing the University's environmental impact in the following ways:



NUMBER OF TREES

1,427



GALLONS OF OIL

13,594



HOURS OF ELECTRICITY

143,571



GALLONS OF WATER

430,180

FY23 OBJECTIVES

▶ Records Retention Schedule Updates

During FY23, RIMS will draft a consolidated records retention schedule that incorporates all current “general” schedules. Once in place, future updates will be much quicker and more convenient allowing the University to better support records management compliance requirements and more easily respond to shifting business processes. We will also be focusing on creating a new general records retention schedule for utilities-related records.



▶ Stakeholder Collaborations

RIMS will build on and expand collaborative initiatives with personnel from offices focused on the functional areas of IT, Risk Management, Security, and Privacy. Collaborations with more stakeholders across the institution will position RIMS to provide the best possible guidance around records and information management and better support initiatives that align or overlap with the objectives of RIMS.

▶ Records Storage Transitions

RIMS will complete the transition of physically storing records for UIC from the Laflin warehouse into the care of Iron Mountain. A new cost-recovery model will be established during FY23 with RIMS coordinating oversight of the storage needs of each UIC unit with Iron Mountain.



FY23 OBJECTIVES

▶ UIC Hospital Laserfiche

Laserfiche®

For the past several years, the UIC Hospital has developed a file structure to support the storage of HR-related documents using tools of the enterprise content management company, Laserfiche. During FY23, RIMS will provide direct support for the roll out of Laserfiche records management functionality for the HR department at the UIC Hospital.

▶ Academic Initiatives

During FY23 RIMS will be working with others across the University and around the globe to provide support for the 2023 international digital preservation conference to be hosted by the University in Urbana. Rolled out in 2004, iPRES is the longest running conference focused on digital preservation.



During FY23 RIMS will also be co-directing the University sponsored COVID-19 documentation project. This project seeks to document the stories of the University of Illinois and its partners' response to the COVID-19 pandemic. The project aims to collect first-hand accounts, photographs, research materials, and other documentation from the individuals who led the University's efforts and its surrounding communities through this unprecedented emergency.

Contact Us

Records and Information Management Services

Urbana Office

Room 450 HAB M/C 359
506 S. Wright St.
Urbana, IL 61801

Chicago Office

AOB M/C 817
1737 W. Polk St.
Chicago, IL 60612

Email

RIMSgroup@uillinois.edu
[Contact Form](#)

Website

<https://go.uillinois.edu/rims>