Earning Their Keep

Disposition of Records and the Carleton University Retention Schedule

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Carleton University Corporate Archives
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Disposition of Records and the Carleton University Retention Schedule

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3. Retention Basics
4. Regulations
5. Carleton University Retention Schedule
6. Permanent Records
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Workshop Goals

- Determining final disposition and the nature of records.
- Become familiar with records retention & management terminology.
- Be able to identify retention issues.
- Become familiar with role & services of Corporate Archives.
Retention definitions

Retention

Determines the length of period in which a record should be maintained by an organization once it is no longer active. Retention periods vary in length and can be determined by intended use, institutional policy and procedure, and provincial or federal legislation.
Final Disposition
Once a record has completed its retention period, and is not required for administrative or operational use, it will either be slated for destruction OR transferred to the Corporate Archives if it is permanent.

Trigger
The event or timing that signals why, when or how a record will move from active or semi-active to inactive and its final disposition.

Archival Review
Records for which a consultation with the Corporate Archives must occur before final disposition is decided.
Records Retention Basics

Retention Schedules only apply to OFFICIAL university records.

**Official**
- Materials that document formal agreements, confirmation of actions, decisions taken.
- Drafts or copies but only if they contain significant changes, annotations, or information not available elsewhere.
- Correspondence/documents from external sources that contain significant info. related to the operations of Carleton.
- Materials that convey opinions, decisions, or positions of staff, faculty, departments, committees.
- Materials that contain policies or directives.
- Documentation of major events, issues, persons that have contributed to Carleton’s history.

**Transient**
- Preliminary drafts that do NOT record significant changes or decision making processes.
- FVI or “cc” copies for which no action by you or your office is required.
- Minutes and agendas originating from other departments or committees for which you or your office have no involvement or responsibility.
- Newsletters created by other departments or committees for which you or your office have no responsibility.
- Materials published elsewhere gathered for research (e.g. newspaper clippings, magazines, etc.)
- Personal or collegial correspondence.
- Business messages
- Memos to all staff or university for which you or your office has no responsibility.
Records Retention Basics

Why do we need records retention schedules?

1. Risk Mitigation
   + Protect assets of University.
   + Protection in litigation.
   + Protection of confidential and private information.

2. Protection of Historical Material
   + Ensures materials of enduring value are transferred to Corporate Archives.
   + Identification of rule exceptions.
   + Involves all levels of staff community.

3. Regulation Adherence
   + Provincial and federal laws.
   + University policies.
   + Funding and research contracts.
Records Retention Basics

Why do we need records retention schedules
DIRECT WORK BENEFITS

- Free up space in office storage.
- Avoid unnecessary off-site storage and/or keep that storage efficient.
- Return on investment for staff - efficient search, retrieval, avoid draft confusions.
- Regularized disposals: avoid privacy breaches, remove risky materials, protects permanent materials.

- Assures storage areas are checked at some point (physical preservation).
- Helps to prevent draft confusion.
- Material destruction is documented.
- Simplify work flow: remove guess work of record disposition.
- Encourages overall more efficient organization of records, helps to secure knowledge succession.
Records Retention Basics - Record Life Cycle

- **Creation**
  - Active
  - Understand retention at creation.

- **Disposition**
  - Inactive
  - Destruction or Archive Transfer

- **Distribution**
  - Active

- **Use**
  - Active

- **Maintenance**
  - Semi-Active
  - Retention on or off-site
Records Retention Basics - Life Cycle Roles

**Creation (Active)**
Creating or receiving records.
Classifying records.

**Distribution (Active)**
Maintaining security & confidentiality, adhering to relevant regulations & policy.

**Use (Active)**
Continued active use and development
Maintaining security & confidentiality, adhering to relevant regulations & policy.

**Maintenance (Semi-Active)**
Properly stored/identified as records no longer in active use.
Trigger has occurred, retention period now commenced.
Corporate Archives has been informed of off-site storage.

**Disposition (inactive)**
Document destruction or major record groups.
Book review with Corporate Archives for records requiring “Archival Review”.
Book transfer to Corporate Archives of records classed as “Permanent”.
How do we know how long to retain records?

- Provincial and federal legislation
- Tribunals
- Research contracts
- Contracts, collective agreements
- Departmental or institutional best practices and anticipated use
- Benchmarking
- Recordkeeping Principles
- Bylaws, policies
Regulations Affecting Retention

- Freedom of Information & Protection of Privacy Policy
- Email Use Policy
- Signing Authorities Policy
- Corporate Records & Archives Policy
Regulations - Access to Information and Protection of Privacy Policy (FIPPA)

https://carleton.ca/secretariat/policies/

A. Access to Information
1.3 A person has the right to access any record in the custody or under the control of the University, including a record containing personal information about the applicant, according to Section 47 of FIPPA.

B. Protection of Privacy
2.3 Protection - The University will protect personal information by making reasonable security arrangements to prevent the risk of unauthorized collection, access, use, disclosure or disposal of personal information. Dispose of personal information only with a Records Retention Schedule and Disposal Authority approved and signed by the University Secretary.

2.4 Retention and Disposal - The University will retain for at least one year an individual's information (including exams and submissions for evaluation) when it is used to make a decision that directly affects the individual. Thereafter the University will dispose of personal information only with a Records Retention Schedule and Disposal Authority approved and signed by the University Secretary.
De-provision of Email Accounts

Email accounts which have not been accessed for three years, and which are not forwarded, will be deleted.

Ownership

Electronic documents pertaining to University business have the same legal status as paper documents, and are subject to all regulations and policies governing University data and information. Email used for conducting University business from on or off-campus, even if using a personal email account and/or a personally owned computer, is considered University property and subject to the Freedom of Information and Protection of Privacy Act (FIPPA).
General Provisions for the Exercise of Signing Authorities

(e) Executed Copies of Documents that either (i) have a Total Value that is greater than $100,000 (ii) the Total Value is less than $100,001 but the initial term is five years or greater or (iii) potentially expose the University to a Significant Risk, shall be deposited with the University Secretariat. Research Proposals are excluded from the requirement to be deposited with the University Secretariat.
Regulations - Corporate Records & Archives Policy


- **Policy Statements**
  IV. All records created or received by Carleton University officers or employees in the course of their duties on behalf of the University are considered to be “corporate” records. As such they are the property of the University and subject to its overall control...

- **Policy Statements**
  V. The Corporate Archivist will advise units receiving or creating records on the organization and disposition of the corporate records of the University.

- **Purpose**
  5. to protect records from unauthorized loss and/or release and dispose of records only when all of the University’s legal and operational obligations have been satisfied.
  6. to promote efficiency and economy in the creation, maintenance, storage, retrieval, and disposal of University records.
  9. to support the application of both access to information and protection of privacy legislation throughout Carleton University by ensuring personal information is created, used, maintained and disposed of in an appropriate and legal manner.
Your Roles & Responsibilities

All Employees

- **Manage records in manner consistent with policy.**
  - Document work unit’s file classification, link retention schedule rules.
  - Implement a records management procedural guide for work unit.
  - Review use of shared drive, email, and any other storage mediums.
  - Document destruction with Corporate Archives.

- **Seek advice from Corporate Archivist on retention & disposition.**
  - Book Corporate Archivist for tailored sessions with your work unit.
  - File work unit’s file classification plan with Corporate Archives, including listings of material stored with off-site vendors.

- **Take steps to preserve records that may be historical or enduring value.**
  - Identify historical material with file classification or at time of creation.
  - Review records from your work unit already held by Corporate Archives.
  - Involve long-serving staff members in identifying significant material.

- **Adhere to and familiarize with FIPPA and the University Privacy Office.**
  - Attend a FIPPA workshop.
  - Arrange a policy information session for your work unit.
  - Spend time on the policy website - https://carleton.ca/secretariat/policies/
Carleton University Retention Schedule (CURS)

- Implemented in January 2018
- Applies to all official university records
- Living document
- 11 categories of records
Eleven Sections of CURS

1. Administration
2. Campus Operations
3. External Relations
4. Facilities and Properties
5. Financial Management
6. Governance
7. Human Resources
8. Information Management & Technology
9. Research
10. Students
11. Teaching
CARLETON UNIVERSITY RECORDS RETENTION SCHEDULE

EXT-00 ADVANCEMENT CAMPAIGNS

<table>
<thead>
<tr>
<th>DESCRIPTION:</th>
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<tbody>
<tr>
<td>Consists of records related to programs and activities related to ongoing or special development and fundraising campaigns to raise donations for sponsorships. Records may include prospect research, donor proposals, feasibility studies, appeals, communications and reports of university priorities.</td>
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</tbody>
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<table>
<thead>
<tr>
<th>OFFICE OF PRIMARY RESPONSIBILITY:</th>
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<tbody>
<tr>
<td>University Advancement</td>
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<table>
<thead>
<tr>
<th># OF YEARS ACTIVE</th>
<th>T</th>
</tr>
</thead>
<tbody>
<tr>
<td>TRIGGER</td>
<td>Until File Closed</td>
</tr>
<tr>
<td># OF YEARS INACTIVE</td>
<td>7</td>
</tr>
<tr>
<td>FINAL DISPOSITION</td>
<td>P</td>
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<tr>
<th>RETENTION RATIONALE:</th>
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<tr>
<td>Retention based on anticipated operational use.</td>
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<tr>
<th>FILING NOTES:</th>
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<tr>
<td>The majority of these records are currently stored in the Banner or DUASHARE system.</td>
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T = Trigger (Refer to Retention Trigger Description Column to determine what “triggers” the move from active to inactive storage); P = PermanentRetention; D = Destruction; AR = Archival Review Required
TAKE NOTE:

• Infamous 7 year rule.
• Units cannot destroy official university records without letting Corporate Archives know first.
• If records are not listed in CURS, you must contact Corporate Archives. You should not make that decision in isolation.
• Legal Holds = RETENTION HOLD!
• When in doubt, DO NOT throw out.
• Retention applies to all types of records, not just paper (a record is a record).
DIGITAL RECORDS & EMAIL

A Record is a record is a record...

- Born-digital, digitized records, and email can all be official records. CURS is applied to all records, regardless of format.
- Attachments should be saved in your file directory, with a copy of the email if relevant and required for context.
- Outlook needs to be used as a tool and not an archive. Apply retention rules to the emails and delete transient records.
Develop Departmental Procedures
* File classification plans.
* Naming conventions & guidelines for email use.

Regularly Scheduled Training
* Schedule Corporate Records and Archives training for new employees.
* Associated training: risk management, FIPPA, email management

Document Procedures with Corporate Archives
* Deposit file classification plans with CUCA.
* Address retention issues as soon as they come up.

Adhere to University Policy
* Use only official Carleton technology
* Ensure that all new employees are aware of relevant policies.

RECORDS RETENTION BEST PRACTICES
Permanent Records & Historical Significance

**Any format or medium**
Paper, digital, posters, technical drawings, architectural plans, textiles, objects, photographs, audio visual, obsolete technology

**Significant events**
Out-of-the ordinary events, issues, procedural or strategic development

**Major decisions, issues, procedures**
Minutes, annual reports, annual financial reports, correspondence of note, highly synthesized information.

**Community memory**
Oral histories, written guides or remembrances, staff events

**Archival Record Database**
All material retrievable by office of origin

**Permafrost - Digital Archives**
Protect authenticity and reliability (displaced digital preservation, secure, digital forensics - migration and emulation)
Permanent Record Examples

- **Constitutions and by-laws**
  Minutes, proceedings, transcripts, working documents, and lists of officers of University bodies and committees.

- **Forms of Correspondence**
  Incoming & outgoing correspondence, emails, memoranda, and discussion papers that document decisions, significant changes and/or actions and events.

- **Subject files**
  Concerning projects, activities, and functions of the University.

- **Final reports**
  Final reports and work materials of departments, committees, special projects, and task forces.
**Permanent Record Examples**

**Publications**
Programs, journals, monographs, newsletters, brochures, posters, and announcements which your department created.

**Photographs and audio-visual**
Photo prints, slides, negatives, digital materials, VHS, cassettes, magnetic reel, etc.

**Textiles and objects**
Uniforms, ceremonial objects, hats, seals, trophies, flags

**Technical plans**
Architectural and engineering plans and designs, maps, technical drawings.

**Memory collection**
Oral histories, recorded recollections of special events or issues, etc.
Transfer Procedures - Permanent Material

1. Consult CURS to confirm records should be transferred OR contact the Corporate Archives directly.

2. Complete “Permanent Transfer Request” with file listing.

3. Make sure you pack the records in the same order they were kept in your office.

4. Ensure the records are in proper files and boxes and labelled clearly.

5. Contact Corporate Archives for instructions on digital materials and special items (objects, textiles, oversized materials).
Upcoming in Records Retention

**Rule Revisions**
Revising current rules for clarification and expansion.

**Structure Change**
To provide structure for expansion.

**Searchable Schedule**
Online database for quick retention rule checks.

**Permafrost - Digital Preservation**
Forensic digital archiving tools and storage for permanent records.

**Searchable & Accessible Permanent Records**
AtoM

**File Classification & Shared Drive Management**
February 07, 2019 / 10:30-12:00
Contact Us

607 Robertson Hall

@ shannon.hodge@carleton.ca

613-520-2600 ext. 5097

www.carleton.ca/records