Introduction to Records Management

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Corporate Archivist
Corporate Records and Archives

- Corporate Records & Archives
  - Manages corporate records of the University pertaining to departments, faculties, and business units.
  - Assures that permanent records are transferred to the Corporate Archives when they come to the end of their lifecycle.
  - Oversees records and information management of the University, ensuring that a proper records management program is in place and followed throughout campus.
Introduction to Records Management

1. Introduction
2. Foundations of a Record
3. Record Ownership, Legislation, & Policy
4. Records Roles & Responsibilities
5. Carleton University Retention Schedule
6. Official Records vs. Transient Records
7. What's Next in the Corporate Archives
What is a record?

- Print or Electronic
- Voice mails
- Emails
- Documents
- Certificates
- Textiles
- Objects
- Photographs
- Posters
- Database records
- Distribution lists
Official vs. Transient
• Official records can be:
  • Materials (electronic or paper) that document formal agreements, confirmation of actions/decisions.
  • Drafts or copies that are annotated with important decisions or information that is not contained elsewhere.
  • If the information does not exist elsewhere, also retain final reports or recommendations or notes of significance on said reports.
  • Correspondence and documents from external sources that contain significant information related to the operation and work of the University.
  • Material that convey opinions, decisions, or positions of university staff, faculty, departments, committees, and other governing bodies.
Transient Records can be:

- Preliminary drafts that do not record significant changes/decision making.
- FYI or “cc” copies for which no action by your office is required.
- Minutes and agendas originating from other departments or committees for which your department is not responsible.
- Newsletters or publications external to your department or the University.
- Personal or collegial correspondence.
- Business messages to confirm meetings, schedule, etc.
- Notice of meetings, holidays, or special events.
- Memos to all staff or university for which you are not the creator.
Record Life Cycle

Creation
Records produced by departments and units, classified

Distribution

Disposition
Transfer to Archives or secure shredding.

Use & Retain
Records available to users, & retained.

Maintenance & Appraise
Appraised for final disposition
Note Bene: Retention

Period of time a university record must be kept for legal, policy, or procedural reason. The Carleton University Retention Schedule instructs the retention period of records at the school.

www.carleton.ca/records/retention-schedule
Note Bene: Final disposition. Once a record has completed its retention period it will either be scheduled for destruction OR transferred to the Corporate Archives if it is permanent.
Introduction to Records Management

- Efficient retrieval of authentic and accurate information even across platform and personnel changes.
- Potential reduction of costs.
- Reduction of duplication and redundancies.
- Improved team work; sharing of information across units.
- Protecting authenticity and fullness of records; identification of records of enduring value.
- Creation of file naming conventions that are understandable, predictable, and consistent.
- Ensure deletion of transient documents or documents legally requiring of destruction.
- Distinguishing drafts and documents from one another easily.
Pro Tips - Retention & Life Cycle

- Foundation of a classification scheme should be based on major functions of your office, followed by activity, and then record type.

- A record is a record is a record, regardless of format.

- File classification should also extend to your Outlook. Outlook is NOT an archive.

- Create a complete file plan, including file naming guidelines for both electronic and paper files. File a copy with Corporate Archives.

- Your electronic records classification and paper files should mirror each other as much as possible.
Legalities of Records Management

- Record ownership
- Legislative responsibilities
- Policy responsibilities
Legalities of Records Management

- **Legal Property of Carleton University**
  1. Was created as part of your obligations of your employment with Carleton University...
  2. Was created by any predecessor in your position as part of their employment with Carleton University...
  3. Directly relates to the legal obligations of Carleton University, its Board, governance, employees and students...
Legalities of Records Management

- Legislative Responsibilities
  1. Accessibility for Ontarians with Disabilities
  2. Personal Health Information Act
  3. Copyright Act
  4. Freedom of Information and Protection of Privacy Act
Note bene: Two main governing principles behind FIPPA are that, with notable exclusions and specific exemptions, the records of public institutions should be available to the public AND privacy of individuals should be protected.
Note bene: records that are part of ongoing litigation, FIPPA request, appeal (hiring, academic appeal, student non-academic appeal, etc.) are considered on hold and cannot be destroyed.
Legalities of Records Management

Corporate Records and Archives Policy.

Email Use Policy

FIPPA (Freedom of Information and Protection of Privacy)

Signing Authorities Policy
Roles & Responsibilities

University Units
- Adheres to and familiarizes with FIPPA and the University Privacy Office.
- Manage records in manner consistent with Policy.
- Take steps to preserve those records that may be historical or of enduring value.

Unit Heads
- Overall management of records in their unit.
- Seek advice from the Corporate Archivist regarding application of retention schedules and disposition of records.
- Provides to the Corporate Archivist reasonable access to unit's current and non-current records.

University Secretary
- Ultimate responsibility for retention and disposition.
- Final decision on destruction or removal of any University record.
- Ensures the University fulfills legal obligations.

Corporate Archivist
- Appraises, acquires, preserves, and makes accessible records of enduring value.
- Facilitates efficient management of corporate records.
- Advises units on records management and classification.
Pro Tips - Work Habits

- Assign a lead to oversee records management.
- Include the Corporate Archives in orientation for new employees.
- Ensure your department understands all records roles and responsibilities.
- Schedule regular Records Management Clean-Up Days.
CARLETON UNIVERSITY RECORDS RETENTION SCHEDULE

ADM-02 DEPARTMENTAL ADMINISTRATION

DESCRIPTION:
Consists of records related to the day to day administration of university departments and units. These records include office visit logs, general correspondence, checklists, mailing lists and documentation concerning meetings.

OFFICE OF PRIMARY RESPONSIBILITY: Units

# OF YEARS ACTIVE T
TRIGGER Until File Closed
# OF YEARS INACTIVE 3
FINAL DISPOSITION D

RETENTION RATIONALE: Retention based on anticipated operational use.

FILING NOTES: None.

T = Trigger. (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage. P = Permanent Retention; D = Destruction; AR = Archival Review Required)

- CURS
  1. Administration
  2. External Relations and Communications
  3. Financial Management
  4. Human Resources
  5. Research
  6. Campus Operations
  7. Facilities and Properties
  8. Governance
  9. Information Management & Technology
  10. Students
  11. Teaching
Pro Tips - Corporate Archives Help

- No documented file classification plan for shared drive management.
- Files being saved and shared across inappropriate platforms.
- A cleanup of your shared drive is overdue.
- Inheritance of records management mess or legacy files from past employees.
- Your department has new employees who need introduction to RM at Carleton.
Contact Us

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🌐 www.carleton.ca/records