

Records Management

Module 2: Inventory and Classification

Training Goals



At the end of the session, participants will know:

- How to conduct an inventory of their record storage locations.
- How to classify their records.
- When a detailed file tracking sheet will be necessary.
- Some issues to expect with classification and how to deal with them.

Agenda

- Recap
- Inventory
- Classification
- After completing the Inventory and Classification

Implementation Timeline

Training Module 1: Introduction to Records Management	May
Answer Record Questionnaire	After training
Training Module 2: Inventory and Classification	June
Complete Inventory and classification	After training
Training Module 3: Tracking and Disposition	July
Complete tracking and disposition form(s)	After training
Records Blitz	August
Look at disposition of local electronic records	In the future...

What does RM look like at Ontario Tech?

Deals with responsibility and accountability at a high level. Defines a University Record and establishes the program framework

Records Management Policy

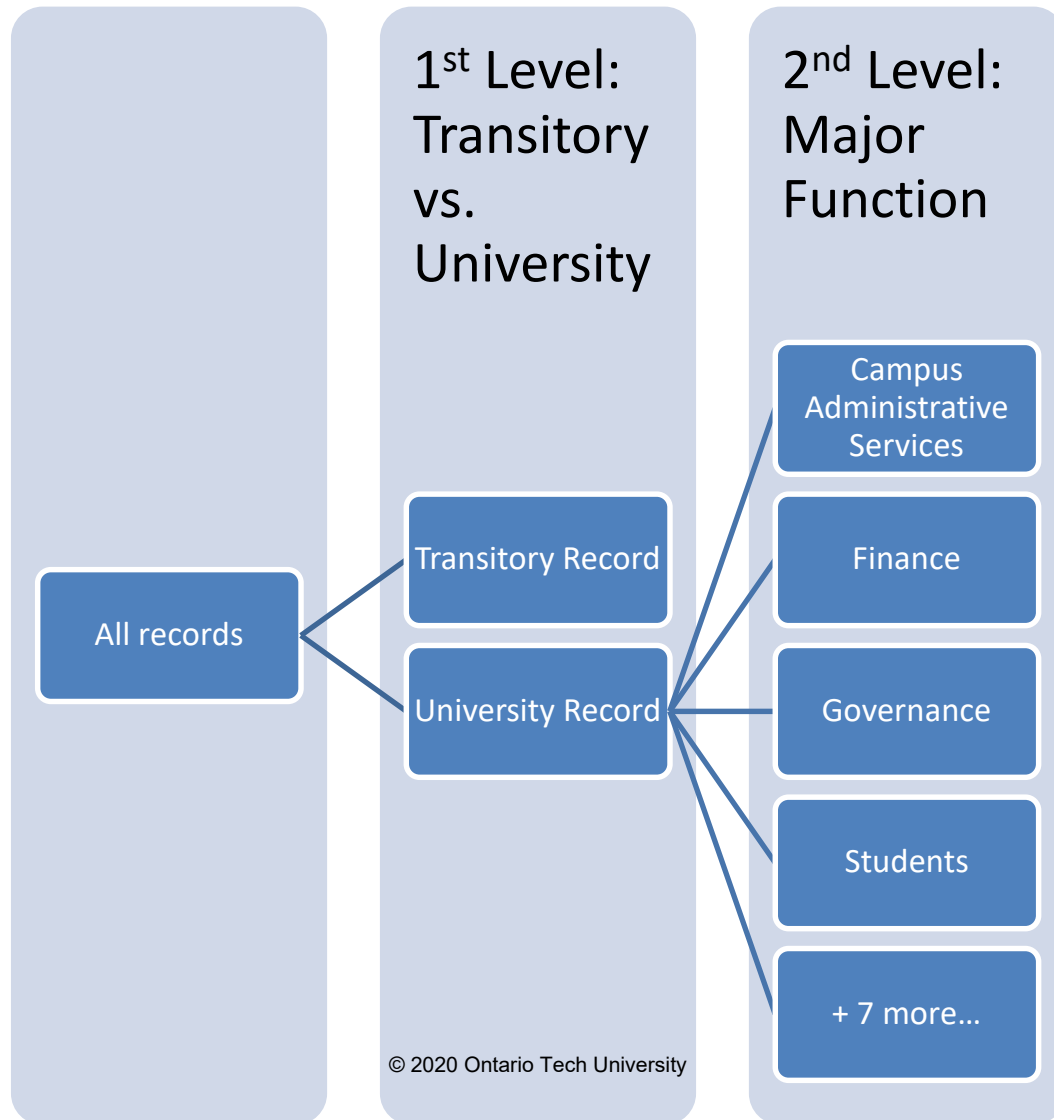
Who signs off on record disposal? What documentation needs to be kept when disposing of records?

Records Disposition Procedure

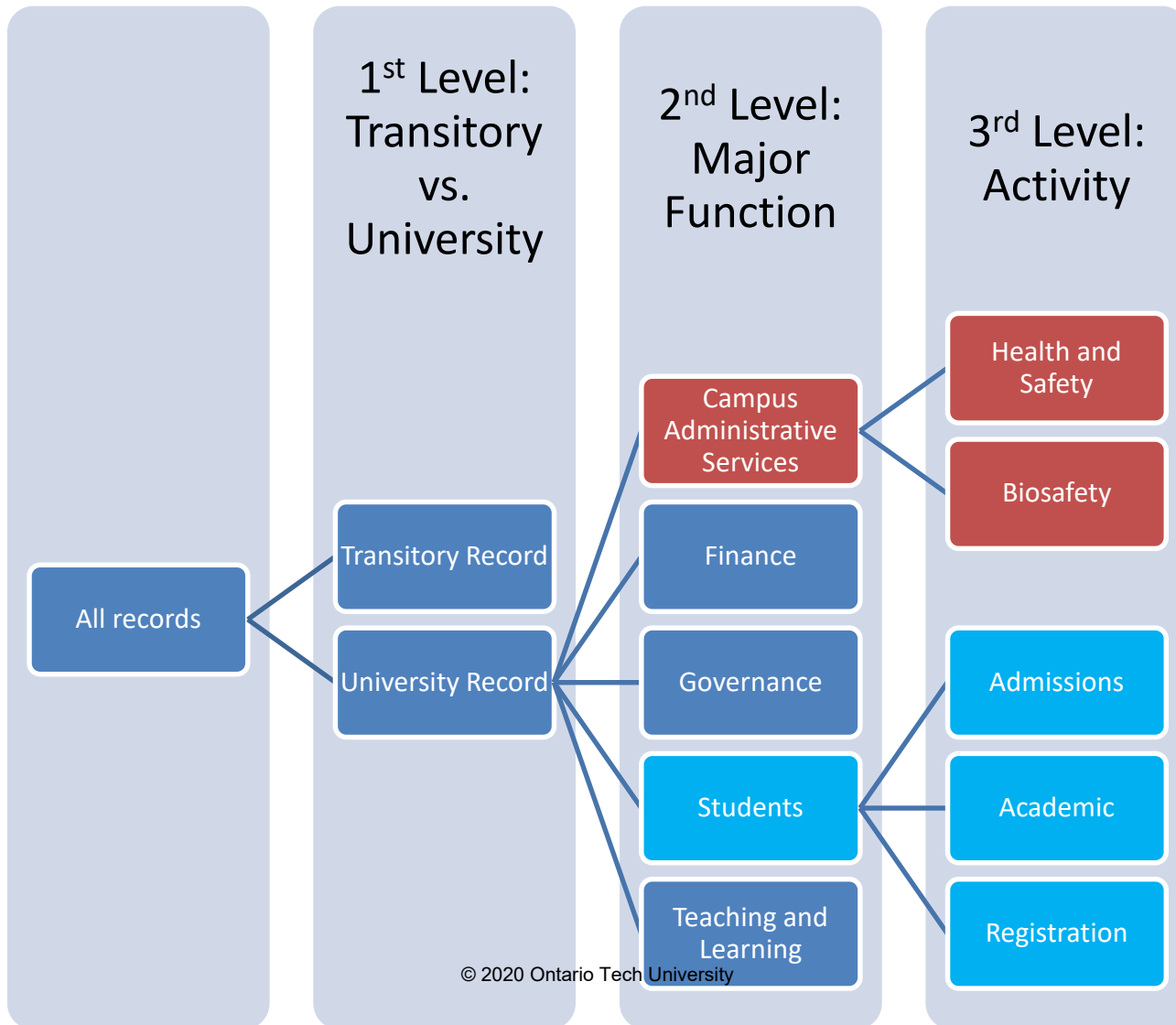
What types of records are there? When can we dispose of them? Who is responsible?

Records Classification and Retention Schedule

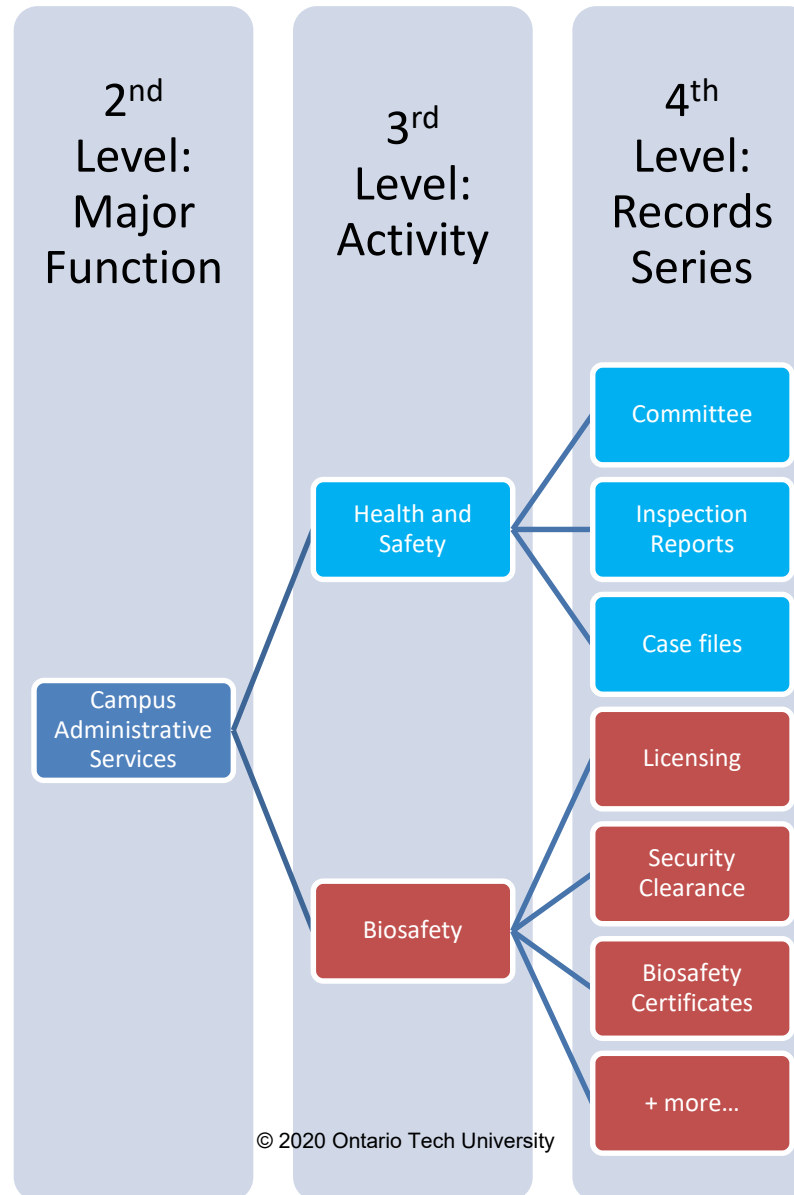
University Records are grouped into functions



Major functions are divided into activities



Activities are divided into records series



Inventory and Classification

Inventory Process

- All records storage locations and electronic records systems were identified and described in the RM Questionnaire.
- This stage of the Inventory will focus on physical record storage locations.
- For each location, you identified:
 - Storage equipment
 - Storage capacity
 - Volume of records
 - Types of records

Where are your records?

- Offsite storage
- Faculty member offices
- Boxes under desks
- Offices with specific roles
- Central files (i.e. behind reception)
- Storage rooms

Where are your records?

- Records are probably not organized according to the RCRS.
- Look for clusters of official records and take a staged approach. May not be possible to cover all of those locations this summer.
- May need to concentrate on central/shared storage locations and identified problem areas.

Inventory and Classification Sheet

Record Inventory and Classification															
Organizational Area															
Completed by (name)															
Date															
Inventory							Classification								
							Primary classification				Secondary classification				
Location	Description	Storage Equipme	Active/Inactive	From	To	Volume	Records Series	Retention Trigger	Retention Period	Trigger Tracking	Responsible Unit	Records Series (other)	Retention Trigger	Retention Period	Responsible Unit

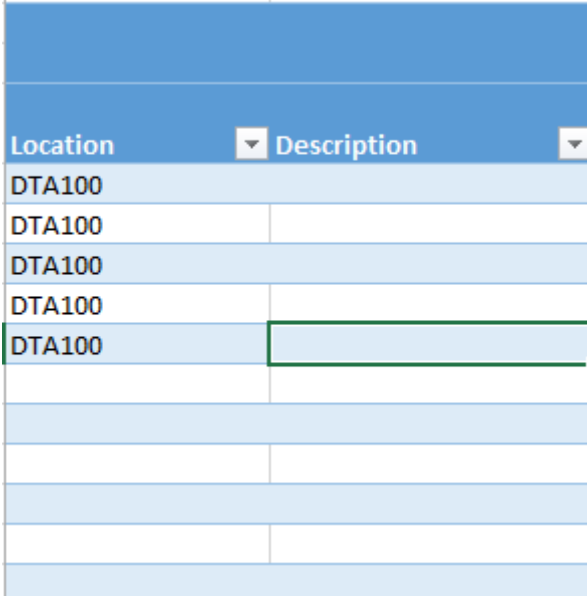
Complete an Inventory and Classification sheet with each location. This sheet will allow you to determine eligibility for all annual records, and any event-based records where file closure has been tracked.

Inventory

Inventory							
Location	Description	Storage Equipme	Active/Inactive	From	To	Volume	

Location

- Add your first location from the RM Questionnaire. If there are multiple types of records, you will need to add the location on several rows.



The screenshot shows a data entry interface with a table. The table has two columns: 'Location' and 'Description'. The 'Location' column contains the value 'DTA100' in five rows. The 'Description' column is empty in all rows. The fifth row is highlighted with a green border, indicating it is the current row being edited.

Location	Description
DTA100	
DTA100	
DTA100	
DTA100	
DTA100	

Description

- On separate lines, add each type of record that you listed out on the RM Questionnaire

Inventory			
Location	Description	Storage Equipment	Ac
DTA100	Student Files (Graduated)		
DTA100	Student files (not graduated)		
DTA100	Degree Audits		
DTA100	Mixed change forms (course change, transcription requests, etc.)		

What storage equipment is used?



Filing Cabinets



Open Shelving



Offsite Storage



Boxes



Other

Storage Equipment


- For each record type, list all the different storage equipment used. If you have more than one type of equipment, please add another row for the record type

Location	Description	Storage Equipment
DTA100	Student Files (Graduated)	Boxes
DTA100	Student Files (Graduated)	Open Shelves
DTA100	Student files (not graduated)	Open Shelves
DTA100	Degree Audits	Boxes
DTA100	Mixed change forms (course change, transcription requests, etc.)	Open Shelves
DTA100		
DTA100		

Storage Equipment

- For each record type, list all the different storage equipment used. If you have more than one type of equipment, please add another row for the record type

Added an extra entry for Student Files (Graduated) because it has two Storage equipment types



Location	Description	Storage Equipment
DTA100	Student Files (Graduated)	Boxes
DTA100	Student Files (Graduated)	Open Shelves
DTA100	Student files (not graduated)	Open Shelves
DTA100	Degree Audits	Boxes
DTA100	Mixed change forms (course change, transcription requests, etc.)	Open Shelves
DTA100		
DTA100		
DTA100		

Active/Inactive

- Indicate whether the records in that storage equipment are active, inactive or both.
- Are the files closed?
 - Retention trigger has occurred
 - Employee/student no longer at the University
 - Appeal decided
 - Current year ended
- Are the files only accessed infrequently?
 - Maybe files from last year are still looked at quite often

Then they are Inactive records.

Inventory			
Location	Description	Storage Equipme	Active/Inactive
DTA100	Student Files (Graduated)	Boxes	Inactive
DTA100	Student Files (Graduated)	Open Shelves	Both
DTA100	Student files (not graduated)	Open Shelves	Both
DTA100	Degree Audits	Boxes	Inactive
DTA100	Mixed change forms (course change, transcription requests, etc.)	Open Shelves	Both

Date Range (from/to)

- Enter the year in which the first record was created.
- Enter the year in which the last record was created.

Inventory						
Location	Description	Storage Equipment	Active/Inactive	From	To	Volume
DTA100	Student Files (Graduated)	Boxes	Inactive		2003	2015
DTA100	Student Files (Graduated)	Open Shelves	Both		2003	2015
DTA100	Student files (not graduated)	Open Shelves	Both		2003	2015
DTA100	Degree Audits	Boxes	Inactive		2003	2015
DTA100	Mixed change forms (course change, transcription requests, etc.)	Open Shelves	Both		2003	2015
DTA100						
DTA100						

Volume

- For this storage equipment type, how many are taken up by this type of record.
- How many boxes, drawers, shelves, etc.?
- You can use decimals to indicate $\frac{1}{4}$, $\frac{1}{2}$, $\frac{3}{4}$ if necessary.

Inventory							
Location	Description	Storage Equipment	Active/Inactive	From	To	Volume	
DTA100	Student Files (Graduated)	Boxes	Inactive		2003	2015	50
DTA100	Student Files (Graduated)	Open Shelves	Both		2003	2015	60
DTA100	Student files (not graduated)	Open Shelves	Both		2003	2015	14.5
DTA100	Degree Audits	Boxes	Inactive		2003	2015	30
DTA100	Mixed change forms (course change, transcription requests, etc.)	Open Shelves	Both		2003	2015	30
DTA100							
DTA100							

Exercise

- Take a submitted record questionnaire and use it to fill out the record inventory section.

Classifying

- Now that all record types have been entered into the inventory sheet, they must be classified according to the RCRS.

Classification									
Primary classification					Secondary classification				
Records Series	Retention Trigger	Retention Period	Trigger Tracking	Responsible Unit	Records Series (other)	Retention Trigger	Retention Period	Responsible Unit	

Primary and Secondary Classification

- Primary: the best fit for the majority of the records in the files.
- Secondary: any other records series that are filed together in the same folder.
- What if more than two records series apply?
 - Just do your best to include all applicable codes in the records series column. That will serve as an indicator that all of the retention periods of those records series will need to be considered.

Classification

- What records series applies to “Student Files – Graduated”?
- Use the RCRS to decide what records series the record type belongs to.
- Once you’ve determined a classification, you can put in the rest of the information from the records series itself.

Inventory		Classification								
		Primary classification				Secondary classification				
Location	Description	Records Series	Retention Trigger	Retention Period	Trigger Tracking	Responsible Unit	Records Series (other)	Retention Trigger	Retention Period	Responsible Unit
DTA100	Student Files (Graduated)									
DTA100	Student Files (Graduated)									
DTA100	Student files (not graduated)									
DTA100	Degree Audits									
DTA100	Mixed change forms (course change, transcription requests, etc.)									

Classification

- What records series applies to “Student Files – Graduated”?
- Use the RCRS to decide what records series the record type belongs to.
- Once you’ve determined a classification, you can put in the rest of the information from the records series itself.

Inventory		Classification				
Location	Description	Records Series	Retention Trigger	Retention Period	Trigger Tracking	Responsible Unit
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years		Registrar's Office
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years		Registrar's Office
DTA100	Student files (not graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years		Registrar's Office

Retention Trigger Tracking

How is the retention trigger tracked?

- Not being tracked
- Through an external database
- With a tracking sheet
- By the filing system (organizing records by date the file was closed)

Retention Trigger Tracking

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- By the filing system (organizing records by date the file was closed)

Inventory		Classification				
		Primary classification				
Location	Description	Records Series (primary)	Retention Trigger	Retention Period	Trigger Tracking	Responsible Unit
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office
			Student			

Classification

- Are there multiple Records Series in the same folder?

Inventory		Classification								
		Primary classification					Secondary classification			
Location	Description	Records Series (primary)	Retention Trigger	Retention Period	Trigger Tracking	Responsible Unit	Records Series (other)	Retention Trigger (other)	Retention Period (other)	Responsible Unit (other)
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office				
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office				
DTA100	Student files (not graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office				
DTA100	Degree Audit									

Classification

- Are there multiple Records Series in the same folder?

Inventory		Classification				
		Primary classification	Secondary classification			
Location	Description	Records Series (primary)	Records Series (other)	Retention Trigger (other)	Retention Period (other)	Responsible Unit (other)
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	STU-1100 Academic Misconduct: Decisions	Decision made	Trigger + 7 years	Registrar's Office
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	STU-1100 Academic Misconduct: Decisions	Decision made	Trigger + 7 years	Registrar's Office
DTA100	Student files (not graduated)	STU-0100 Admissions: Undergraduate	STU-1100 Academic Misconduct: Decisions	Decision made	Trigger + 7 years	Registrar's Office
		STU-0510 Graduation				

Classification

Inventory		Classification								
		Primary classification					Secondary classification			
Location	Description	Records Series (primary)	Retention Trigger	Retention Period	Trigger Tracking	Responsible Unit	Records Series (other)	Retention Trigger (other)	Retention Period (other)	Responsible Unit (other)
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office	STU-1100 Academic Misconduct: Decisions	Decision made	Trigger + 7 years	Registrar's Office
DTA100	Student Files (Graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office	STU-1100 Academic Misconduct: Decisions	Decision made	Trigger + 7 years	Registrar's Office
DTA100	Student files (not graduated)	STU-0100 Admissions: Undergraduate	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office	STU-1100 Academic Misconduct: Decisions	Decision made	Trigger + 7 years	Registrar's Office
DTA100	Degree Audits	STU-0510 Graduation Authorization	End of academic year	Trigger + 5 years	Filing system	Registrar's Office				
DTA100	Mixed change forms (course change, transcription requests, etc.)	STU-0300 Registration: Changes and Requests (Undergraduate)	Student Graduates or stops attending UOIT	Trigger + 2 years	Student Information System	Registrar's Office	STU-1100 Academic Misconduct: Decisions	Decision made	Trigger + 7 years	Registrar's Office

Exercise

- Take the completed inventory section and discuss how to classify the records.

After completing the Inventory and Classification

Issues that may come up

- Annual files are not being cut off cleanly at the end of the year
- Multiple records series in a single file
- Active and inactive records not clear
- Retention triggers not being tracked
- Not sure what records series applies
- Not the responsible unit for these records
- **You can discuss with RMC**

Annual Files

- You will need to sort out the date ranges for the folders to ensure that no records are going for disposition early.
- If a folder contains records from multiple years, but all years would be eligible for disposition, you can disposition as-is.
- In the future, ensure annual files are cut off each year
- A new file should be opened every year and any active material copied or moved over to it.
- The closed file should no longer be updated.

Files that contain multiple records series

- Some files may contain multiple records series
 - Final communications product stored in the project folder.
 - Student files containing both general student info and discipline.
 - Human resources files containing pension info.
- Questions to ask:
 - Are the retention periods the same/close?
 - Are there different retention triggers?
 - Are there risks to keeping the records with a shorter retention period for longer?
 - How many files are impacted? How much work is it to separate?
 - Is there a reason the records need to be kept together?

Ways to handle...

- Separate the files right away for the next disposition.
- Start filing separately going forward.
 - Plan to separate the files when you have time.
 - Plan to keep some records longer than the retention period in the RCRS.
- Continue interfiling...
 - Are you retaining records for longer than the retention period in the RCRS?
- Interfile, but use a separate folder within the larger file.

The best course of action will depend upon the type of records in question, resources available and the sensitivity of the records. RMPC can work with you to create a plan to separate and evaluate these records for disposition.

What if active and inactive are filed together?

- Files become inactive after their retention trigger occurs.
- If active and inactive files are filed together, you need to determine which files have had retention triggers occur.
- This may mean that a detailed file tracking sheet needs to be created.
- This could be the biggest issue to deal with before disposition.

What if retention triggers are not being tracked?

Use a detailed file tracking sheet

- Example: Project files with unsure status. Student files that have not graduated.
- File titles will need to be listed out.
- Retention Trigger Dates must be determined based on the file's content.

Not the responsible unit

- Transitory Copies can be treated like any other transitory record*.
- They can be disposed of when they are no longer referenced or used.
- They should not be kept longer than the retention period of the Official Copy.
- A local rule can be created to guide retention of Transitory Copies.
- Transitory Copies are subject to secure disposition if the Official Copy is or if they contain personal information.

*Destroy it when you're done with it.

Issues that may come up

- Annual files are not being cut off cleanly at the end of the year
- Multiple records series in a single file
- Active and inactive records not clear
- Retention triggers not being tracked
- Not sure what records series applies
- Not the responsible unit for these records
- **You can discuss with RMC**

Thank you for your time

- Please complete the Inventory and Classification form for your unit and send to RecordsManagement@ontariotechu.ca
- We will schedule a meeting to go over the Inventory and Classification form for your unit.
- We will schedule training sessions to evaluate records for disposition.
- If you have any questions, call 6705 or email RecordsManagement@ontariotechu.ca