Records Management

Module 1: Introduction to Records Management

OntarioTech UNIVERSITY

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Agenda

- Your role as an RM Liaison
- What is Records Management?
- RM at Ontario Tech
  - Policy
  - FIPPA and Recordkeeping
  - Where are Ontario Tech's records?
- Records Classification and Retention Schedule

Start with paper…

- We have no more room for paper records!

- May not be able to tackle every storage location at one time.

- Some records may be more difficult to deal with – it is ok to deal with the easier records as a first step and make a plan to deal with the rest.

Your role

Records Management Liaison:

- Answer a questionnaire to develop a catalog of record storage locations and e-record systems
- Attend RM Training
- Inventory record holdings and classify them according to the RCRS
- Evaluate records eligible for disposition

Your role (ongoing)

Records Management Liaison:

- Track record retention periods and coordinate annual disposition
- Let the RM Project Coordinator know about changes to retention requirements, business processes or responsibility for records.
- Help resolve questions, concerns or problems with records in their unit or the interpretation or implementation of RM policies or procedures.
- Answer your coworkers' questions about RM, and let RM Project Coordinator know about any questions or training needs.
- Attend future training on retention and disposition of electronic records.

Training Program

Module 1: Introduction to records management – **THIS SESSION**
- **Learning Objective:** Participants will learn the basics of records management, the records management policies/procedures at Ontario Tech and how to use the RCRS to classify records.
- **Follow-up task:** Complete a questionnaire on your unit's record storage locations.

Module 2: Record inventory and classification
- **Learning Objective:** Participants will learn how to conduct an inventory of their record storage locations and classify their records. They will learn to identify which records will need to be reorganized to determine retention and disposition.
- **Follow-up task:** Inventory and classify each record storage location

Module 3: Record tracking and disposition
- **Learning Objective:** Participants will learn the process for record disposition, including calculating record eligibility, determining retention triggers, and implementing the Records Disposition Procedure.
- **Follow-up task:** Determine what records are eligible for disposition.
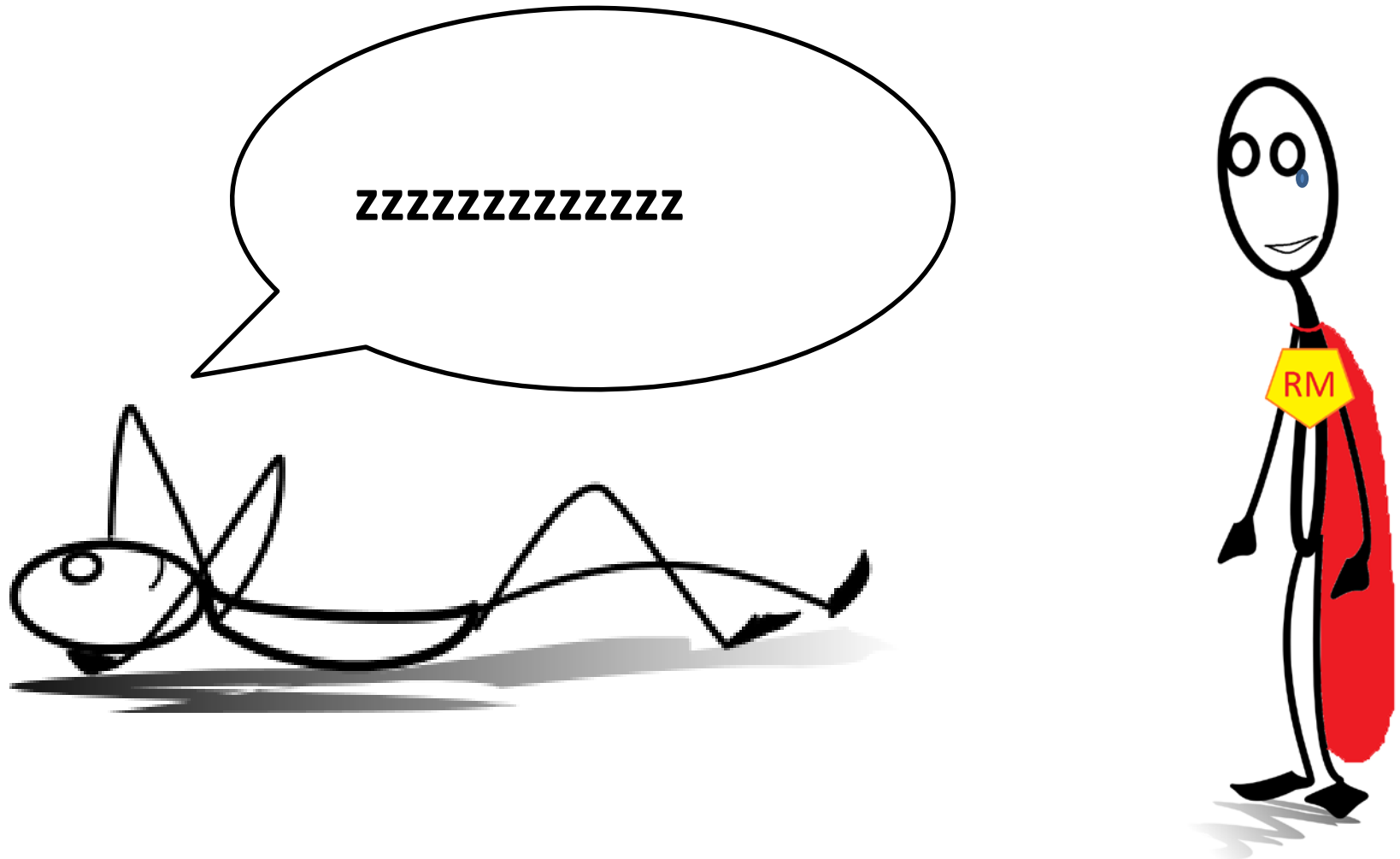
Records Management can help…

Help! Help! Our storage rooms are full!

Records Management can help…

Use the retention schedule to tell you what you can dispose of. Free up space for important records.

Records Management can help…

What is records management?

"…the efficient and systematic control of the creation, receipt and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records…"

- ISO 15489 Part 1

Simplified…

A set of policies and procedures to follow so that you know…

- What you have
- Where you have it
- How long you have to keep it
- Who should be keeping it
- And why

Records management can help…

- Let the University meet its legal obligations.

- Ensure that records with historical value are retained to document the unique character and history of the University.

- Support decision-making, promote accountability and transparency.
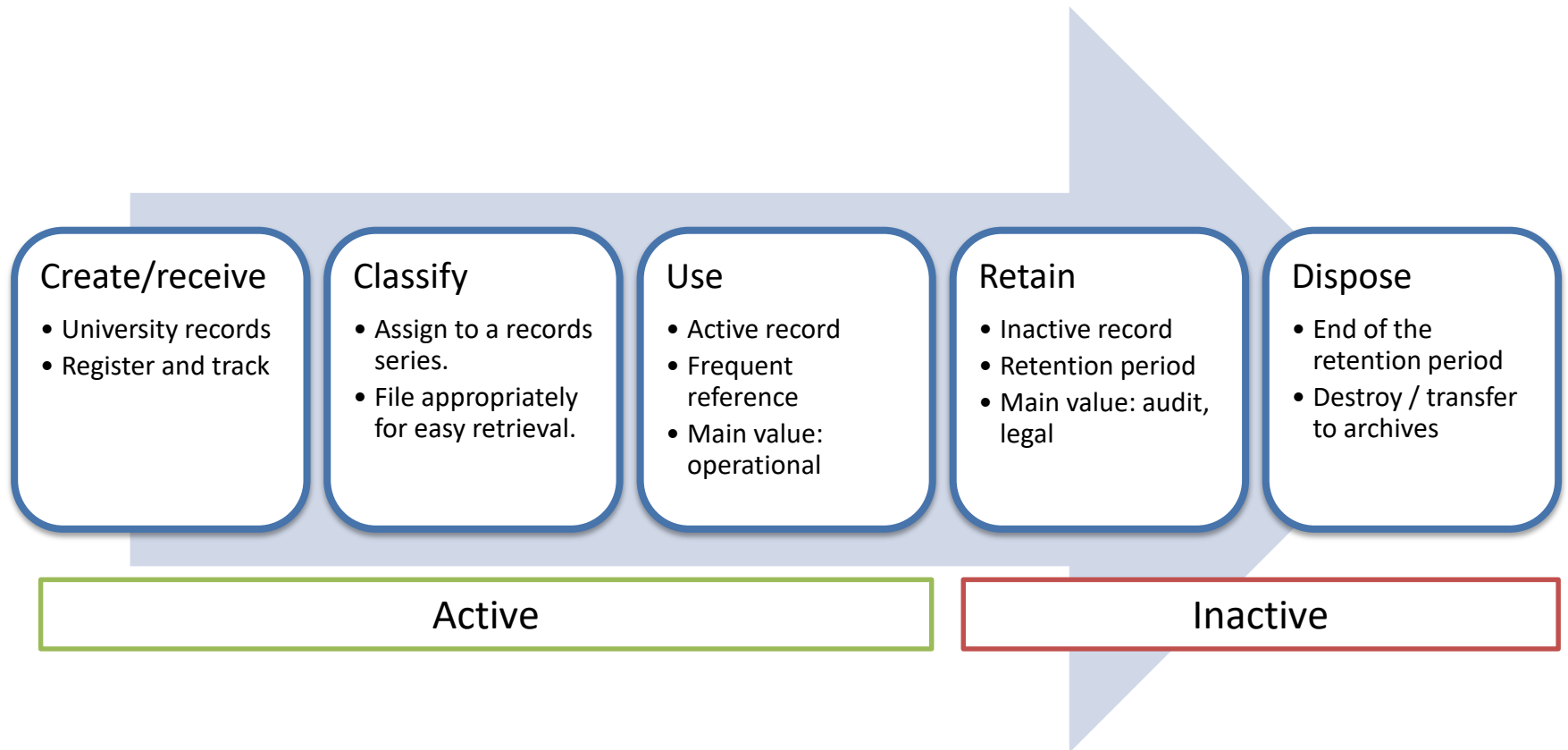
Records management can help…

- Make records easier to find by eliminating duplicates and out of date information.
- Protect against risk:
    - By identifying protection requirements for records.
    - By ensuring records are available in case of litigation or FIPPA access to information requests or have been defensibly destroyed.
- Maximize the use of technology and limited storage space.

"…an organization cannot achieve or sustain long-term success without managing and harnessing its information effectively. Information <u>mis</u>management destroys business value, slows organizations down, creates unnecessary risk, and is - simply - unsustainable."
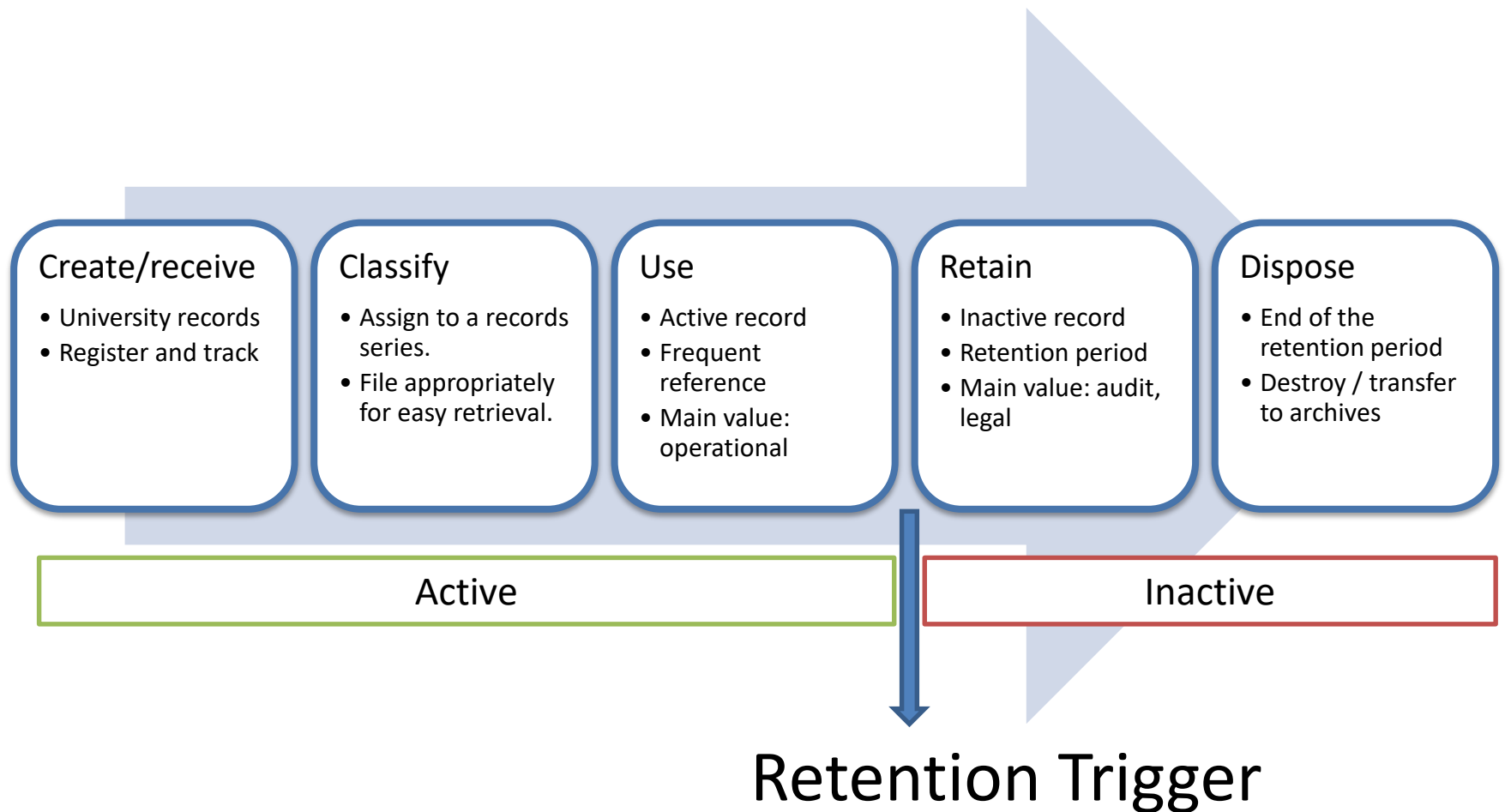
Barclay T. Blair

How does it work?
Records life-cycle

Create/receive
- University records
- Register and track

Classify
- Assign to a records series.
- File appropriately for easy retrieval.

Use
- Active record
- Frequent reference
- Main value: operational

Retain
- Inactive record
- Retention period
- Main value: audit, legal

Dispose
- End of the retention period
- Destroy / transfer to archives

Active

Inactive

How does it work?
Records life-cycle

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- University records
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Use
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- Inactive record
- Retention period
- Main value: audit, legal

Dispose
- End of the retention period
- Destroy / transfer to archives

Active | Inactive

Retention Trigger

RM and Information Governance

One facet that supports the broader field of Information Governance:

"…the activities and technologies that… maximize the value of their information while minimizing associated risks and costs."
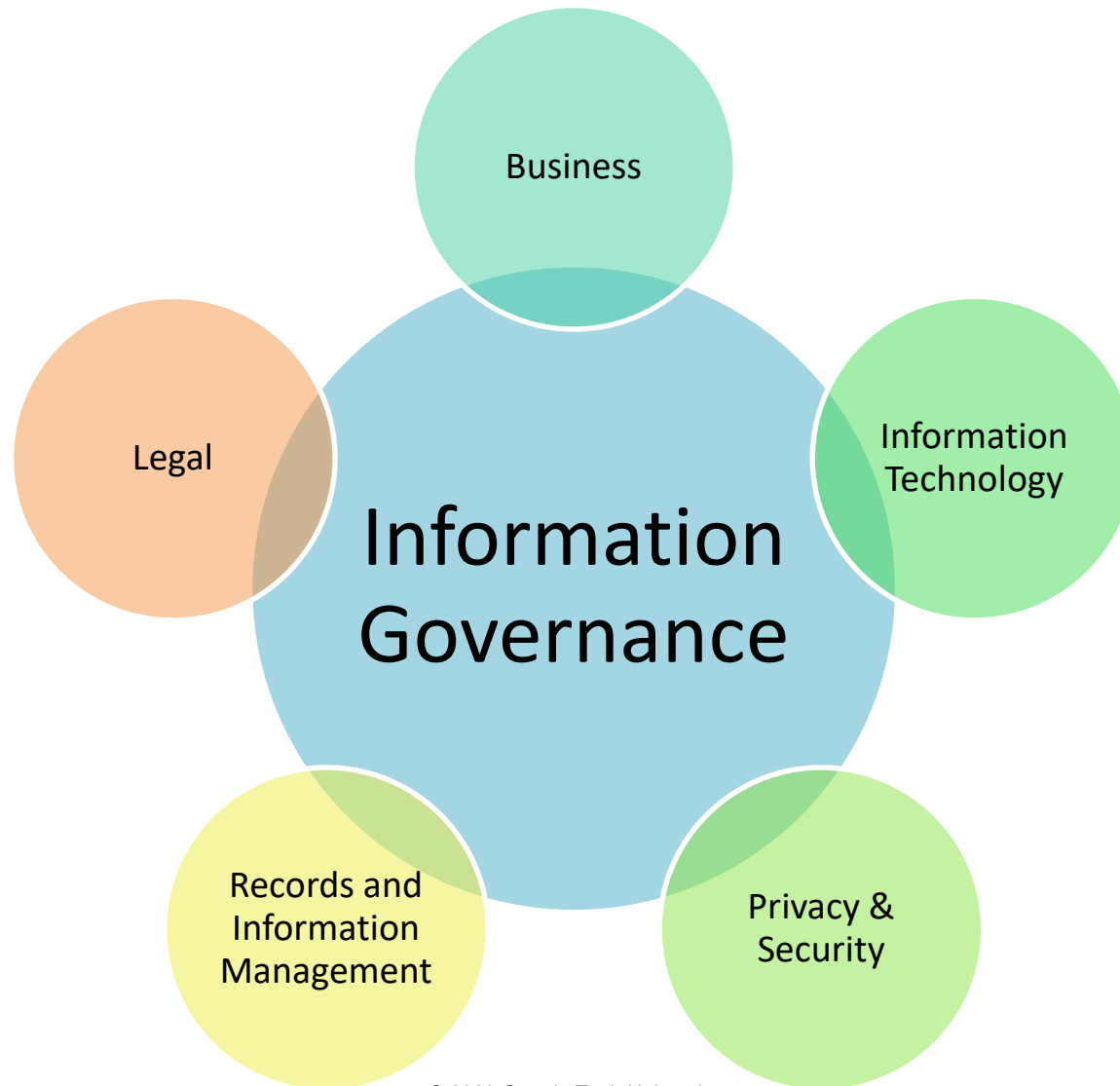
Information Governance Initiative

RM and Information Governance

One facet that supports the broader field of Information Governance:

"…includes the processes, roles, standards and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals."

Gartner

RM and Information Governance

Why is records management hard?

- It takes the most work at the start to "do things right".
- Everyone has to make changes to the way they do their job.
- Need consistency through the whole university to get the greatest benefits.
- Records are more than just paper in boxes. Need to consider a huge number of electronic records systems and issues.
- It seems easier to ignore records and hope the "future you" will deal with them.

Future you

Records Management at Ontario Tech

- Policy Instruments
- FIPPA and recordkeeping
- Records Classification and Retention Schedule

OntarioTech
UNIVERSITY

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

What does RM look like at Ontario Tech?

Records Management Project Coordinator:

- Develop and maintain RCRS.
- Assist with local RM planning and projects.
- Provide training and support.
- Hold permanent record of disposition.
- Support Document Imaging projects or programs.

Unit leadership:

- Help determine retention periods.
- Ensure systems are in place to support recordkeeping.
- Sign off on record disposition or delegate this authority.
- Assign a Records Liaison

Individual staff members:

- Make sure records are protected and stored according to the systems in place.
- Maintain confidentiality of records and personal information.
- Keep your records centrally, not on personal systems or devices.

Legal obligations

Freedom of Information and Protection of Privacy Act

"…reasonable measures… **developed, documented and put into place** to preserve the records in accordance with any **recordkeeping or records retention requirements**…"

What measures are "reasonable"?

Follow Records Management best practices, including:

- Document business actions & decisions
- Develop & implement a record retention schedule based on functional classification
- Understand the sensitivity of records
- Training and support for staff
- Compliance standards & reviews

Take into account the size & budget of the organization

What is a record?

Freedom of Information and Protection of Privacy Act.

"...any record of information however recorded, whether in printed form, on film, by electronic means or otherwise"

What is a record?

All of them

What is a record?

FIPPA's definition spends over a hundred words explaining what formats a record might take and zero words distinguishing between which records are important to keep and which are not.

BUT:
- Not all records are created equal.
- Not all records have equal value.
- So not all records need to be kept for the same length of time.

Why not just keep everything?

- It can be just as bad to keep old obsolete records "just in case" as it is to destroy records prematurely.
- The more copies and drafts are kept the harder it is to determine what is the latest "official" version.
- All records must be searched for access to information requests.
- Storage space needs (physical and electronic) make it costly to maintain.
- FIPPA requires us to comply with all internal recordkeeping rules, as well as all laws and regulations.

Where are Ontario Tech's records?

Where are Ontario Tech's records?

¯_(ツ)_/¯

You may have records…

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

RM Questionnaire

- Create a catalog of record storage locations at the university.

- Complete a questionnaire for each storage location:
    - The storage location
    - Type of location
    - Access controls
    - Storage capacity and equipment
    - Types of records

- Will send you a link after the training.

Where are your records?

- Records are probably not organized according to the RCRS.

- Look for clusters of official records and take a staged approach.

- Concentrate on central/shared storage locations and any problem areas you identify.

- May not be possible to cover all of those locations this summer.

Classification
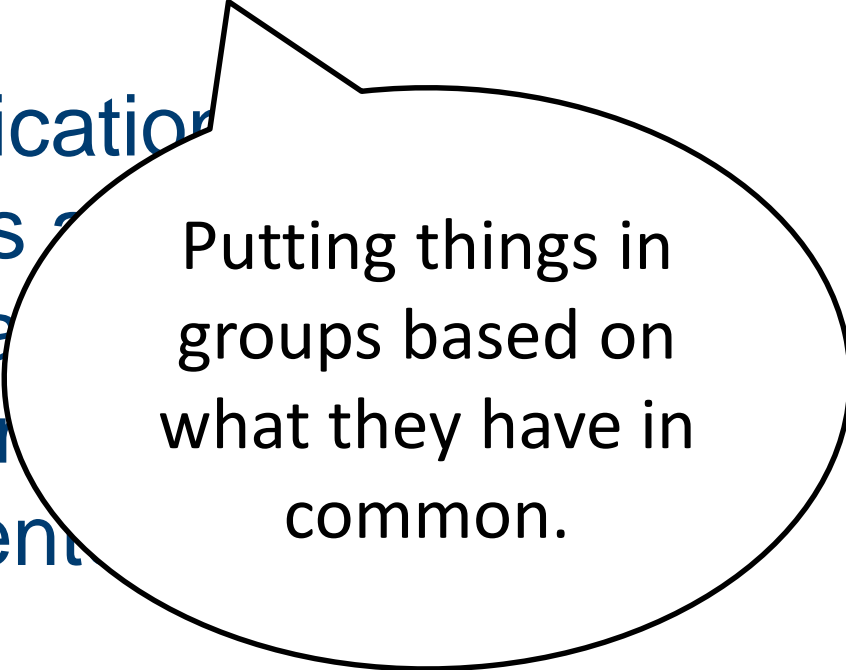
What is classification?

"[The] systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system"

- ISO 15489 Part 1

What is classification?

"[The] systematic identification arrangement of business records into categories a structured conventions, procedural rules represent classification system"

Putting things in groups based on what they have in common.

- ISO 15489 Part 1

What is classification?

"[The] systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system."

Putting things in groups based on what they have in common.

And assigning rules to those groups.

5489 Part 1

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Some examples of classification

By format

DVD

CD

Blu-Ray

By genre

War movies

Kids movies
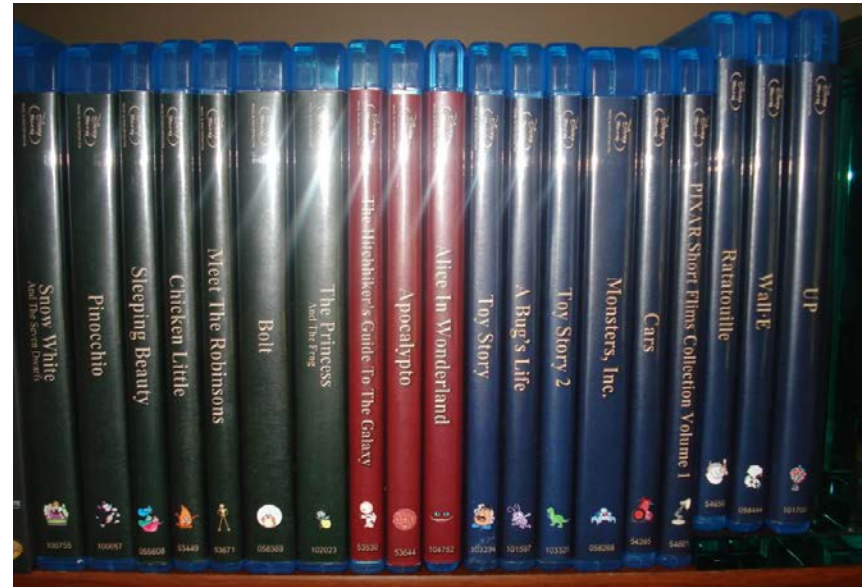
By the function it supports

Keeping the kids occupied for at least a half an hour

Impressing film studies majors, but never actually watching

The first level of classification…

All records

Transitory Record
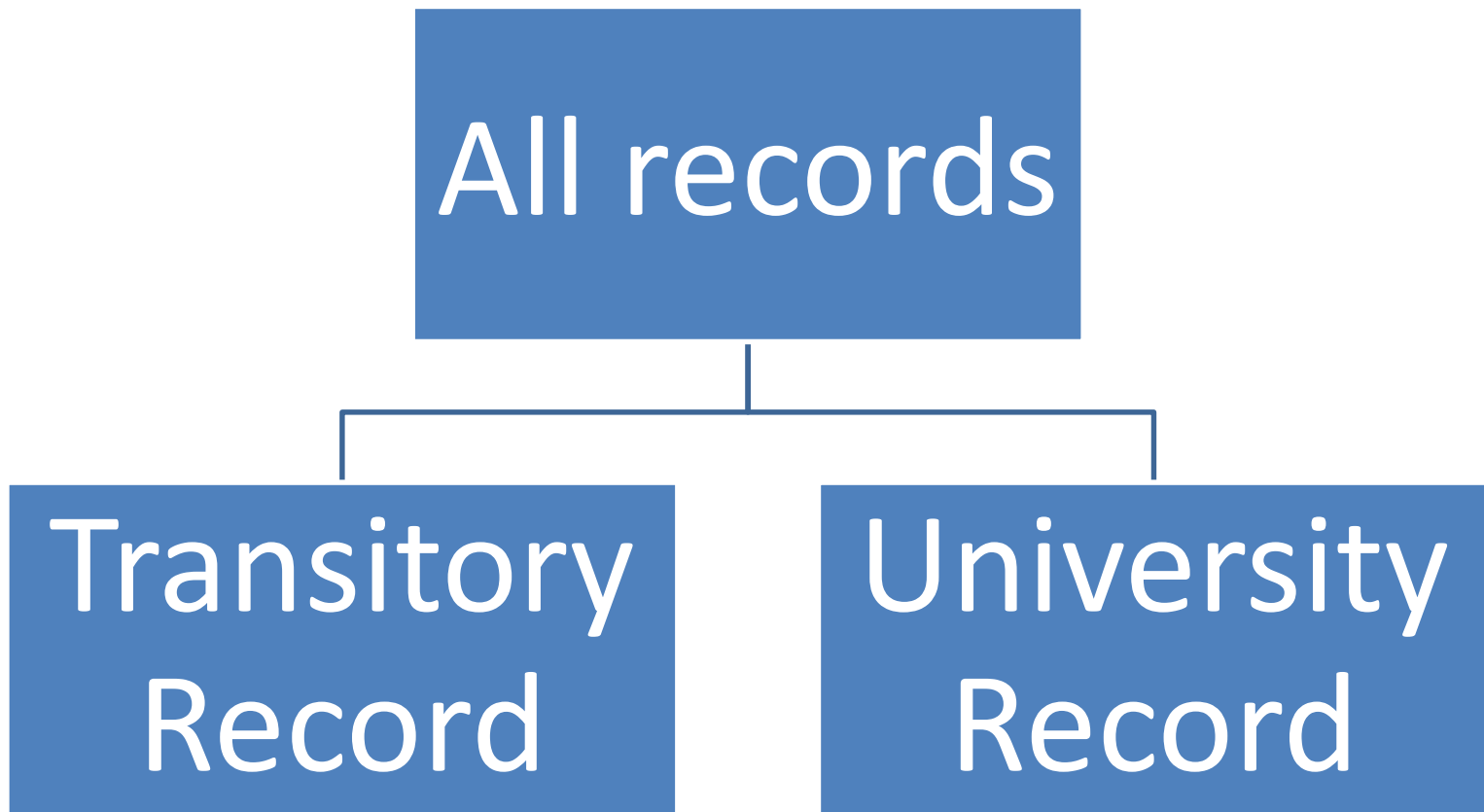
University Record

University Record

…fixed unit of information in any format that documents a transaction, decision or relationship made by the university.

It has **continuing value** in the future, to:
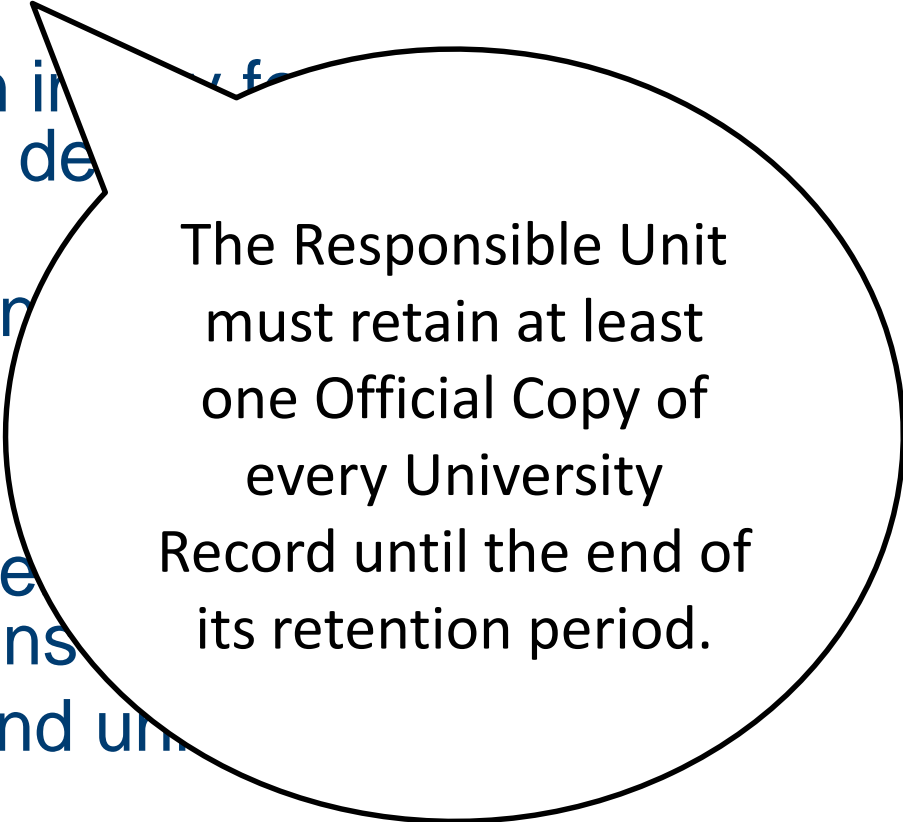
- complete further work

- provide evidence

- serve as institutional memory of obligations, responsibilities, decisions and actions.

- document the history and unique character of Ontario Tech

University Record

…fixed unit of information in [...] fo[...]
documents a transaction, de[...]
made by the university.

It has **continuing value** in [...]

- complete further work
- provide evidence
- serve as institutional me[...]
  responsibilities, decisions[...]
- document the history and un[...]
  Ontario Tech

The Responsible Unit must retain at least one Official Copy of every University Record until the end of its retention period.

Transitory Records

- Information sources that are only required for a limited period of time, in order to complete a routine action or prepare a subsequent record.

- Not subject to compliance obligations.

- Includes drafts, routine correspondence.

- Copies of University Records other than the "Official Copy" held by the Responsible Unit.

The difference between Transitory and University Records

Transitory Record

- Short term value.
- Used to create other more "permanent" records.
- Involves individual discretion, guided by local procedures, to make the determination.
- May be in any electronic or paper format, including email.

University Record

- Documented in the RCRS. **Or SHOULD be.**
- "Significant" – this determination will need to be made at the local level.
- May be needed to comply with laws, regulations, contracts.
- May be in any electronic or paper format, including email.

What is a Records Classification and Retention Schedule?

A comprehensive list of all types of University Records along with rules for handling them.

A policy instrument approved by the Senior Leadership Team.

https://usgc.ontariotechu.ca/compliance/records-management/records-classification-and-retention-schedule/index.php

Function based classification

- Classification based on business functions and activities – NOT on the subject matter or the organization structure.
- Major functions are broad in scope and many units across the university may be involved.
- Considers how records are used, how they move between units and where they stop.
- Reduces duplicate records series.
- Not affected by reorganization.
- One central place to figure out where information is kept.

University Records are grouped into functions

1st Level: Transitory vs. University

2nd Level: Major Function

All records

Transitory Record

University Record

Campus Administrative Services

Finance

Governance

Students

+ 7 more…
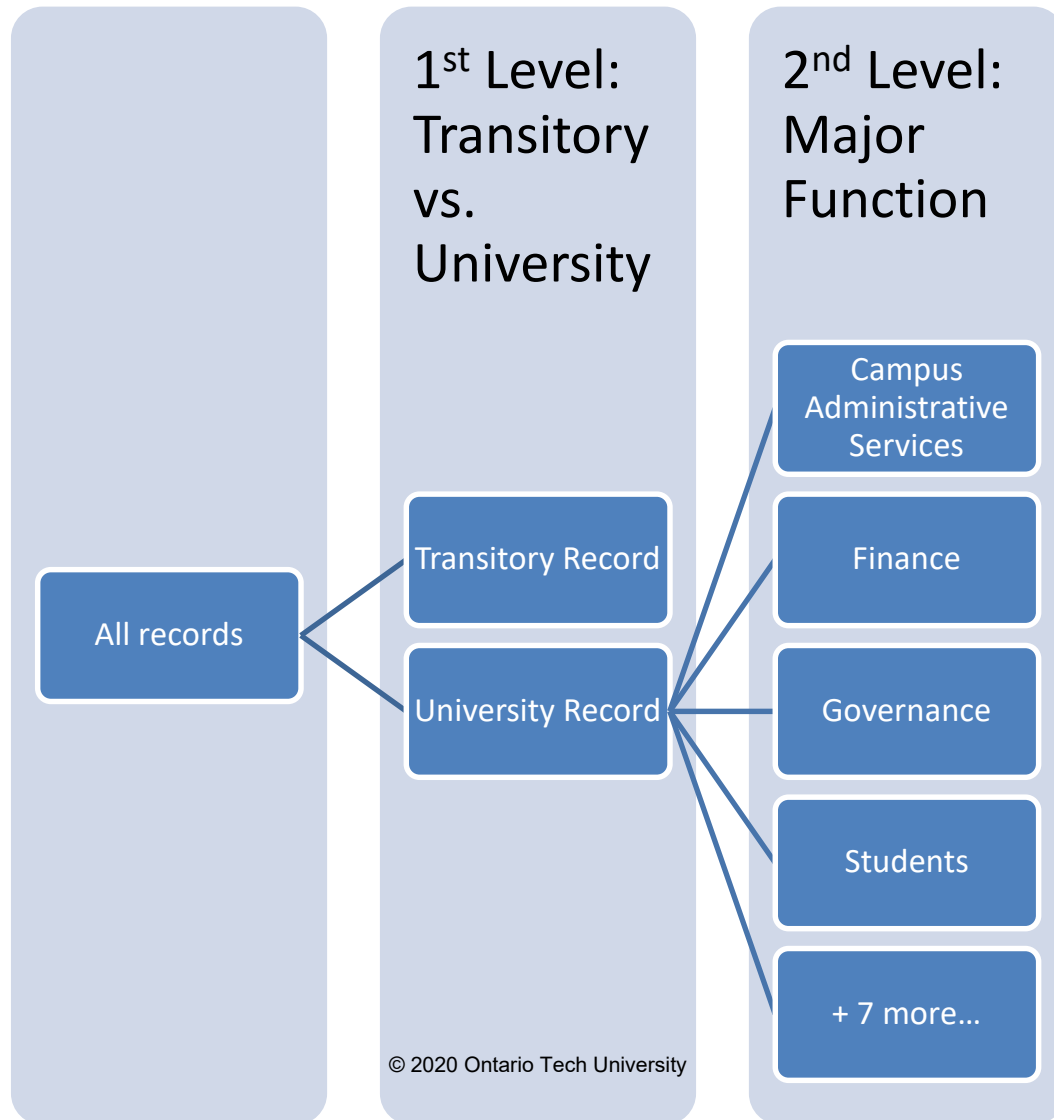
Major functions are divided into activities

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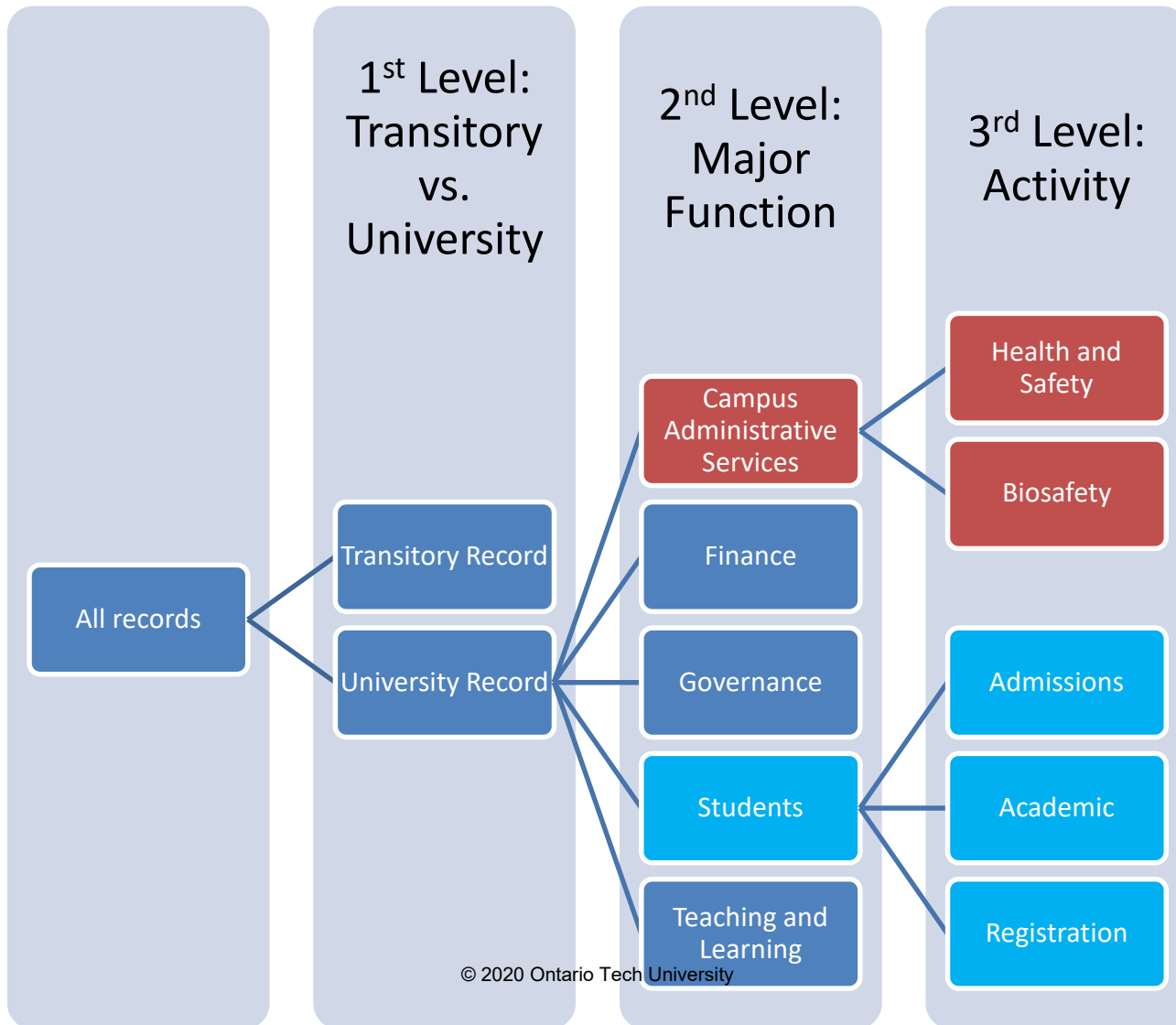
Activities are divided into records series

2nd Level: Major Function → **3rd Level: Activity** → **4th Level: Records Series**

- Campus Administrative Services
  - Health and Safety
    - Committee
    - Inspection Reports
    - Case files
  - Biosafety
    - Licensing
    - Security Clearance
    - Biosafety Certificates
    - + more…
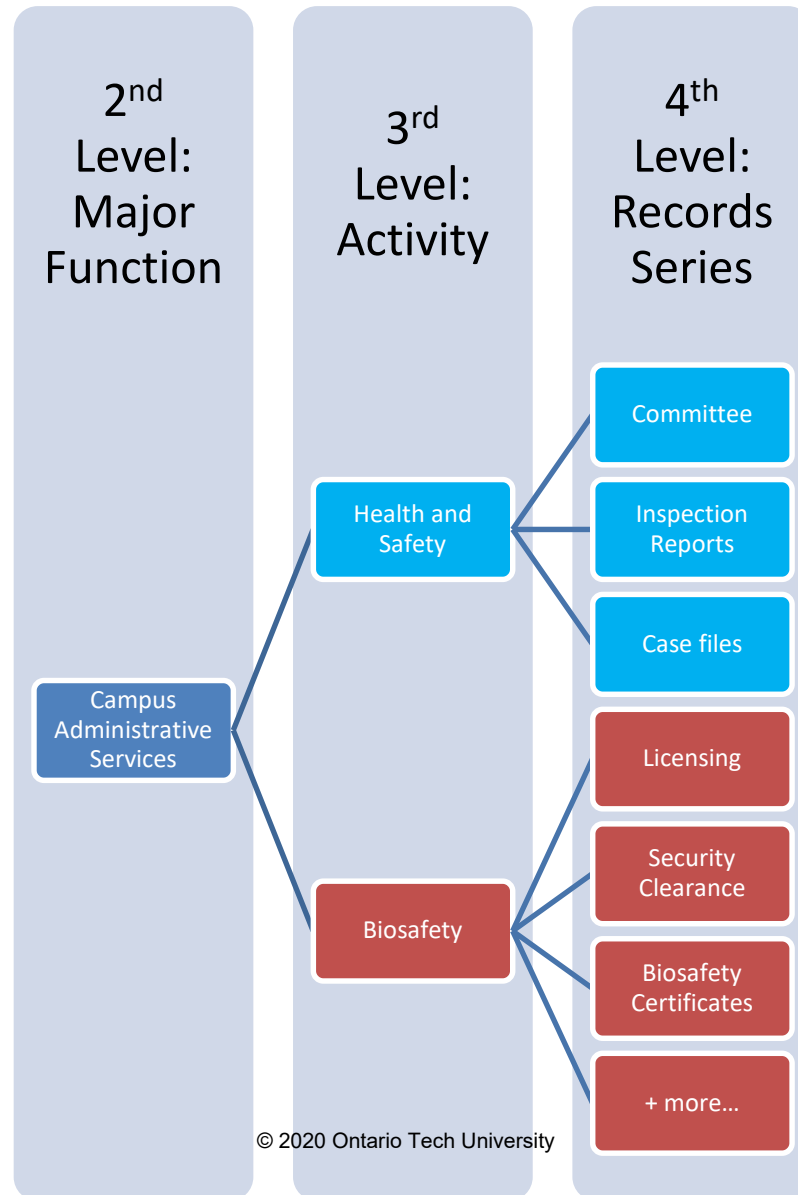
Records Series

- A group of related records filed/used together as a unit and evaluated as a unit for retention purposes.

- All records in the records series are subject to the same rules.

- You can have many different files that are part of the same records series.

CAS - Campus Administrative Services

Consists of records related to services such as asset maintenance, facilities and inventory management, space planning, utilities, health and safety, emergency management, and library services.

Major Function

Code	Name	Trigger	Retention Period	Page
CAS-0100	Campus Planning	Campus Master Plan superseded	Trigger + 7 years	9
CAS-0110	Campus Master Plan		Permanent	10
CAS-0150	Major Projects	End of project	Trigger + 10 years	11
CAS-0200	Capital Projects	End of project	Trigger + 10 years	12
CAS-0210	Building Drawings and Specifications	Disposition of asset	Trigger + 10 years	13
CAS-0220	Building Permits	End of project	Trigger + 10 years	14
CAS-0300	Maintenance and Repairs	End of fiscal year	Trigger + 7 years	15
CAS-0310	Maintenance Specifications	Disposition of asset	Trigger + 1 year	16
CAS-0400	Inventory: Equipment and Furniture	Disposition of asset	Trigger + 7 years	17
CAS-0500	Space Management	End of calendar year	Trigger + 3 years	18
CAS-0510	Space Management: Annual Space Reports		Permanent	19
CAS-0520	Space Management: Committee	End of calendar year	Trigger + 10 years	20
CAS-0600	Sustainability or Energy Management Project	End of project	Trigger + 10 years	21
CAS-0700	Access Control and Keys	Superseded or obsolete	Trigger	22
CAS-0800	Vehicles	Disposition of asset	Trigger + 3 years	23
CAS-0900	Lab Equipment: Purchase, Warranty and Repairs	Disposition of asset	Trigger + 2 years	24
CAS-0910	Lab Consumables: Inventory and Distribution	End of fiscal year	Trigger + 7 years	25
CAS-0950	Lab Safety: Disposal of waste chemicals	End of calendar year	Trigger + 2 years	26
CAS-1000	Health and Safety: Committee	End of year	Trigger + 7 years	27
CAS-1010	Health and Safety: Program	End of year	Trigger + 7 years	28
CAS-1020	Health and Safety: Case Files	Date of last test or first exposure	Trigger + 40 years	29
CAS-1030	Health and Safety: Workplace Safety and Insurance Board: Case Files	End of case and all appeals settled	Trigger + 15 years	30
CAS-1100	Health and Safety: Student Orientation	End of academic year	Trigger + 5 years	31
CAS-1110	Health and Safety: Student Lab Training	End of academic year	Trigger + 5 years	32
CAS-1300	Radiation Safety: Committee	End of year	Trigger + 10 years	33
CAS-1310	Radiation Safety: Licensing	License expired or	Trigger + 3 years	34

CAS - Campus Administrative Services

Consists of records related to services such as asset maintenance, facilities and inventory management, space planning, utilities, health and safety, emergency management, and library services.

Code	Name	Trigger	Retention Period	Page
CAS-0100	Campus Planning	Campus Master Plan superseded	Trigger + 7 years	9
CAS-0110	Campus Master Plan		Permanent	10
CAS-0150	Major Projects	End of project	Trigger + 10 years	11
CAS-0200	Capital Projects	End of project	Trigger + 10 years	12
CAS-0210	Building Drawings and Specifications	Disposition of asset	Trigger + 10 years	13
CAS-0220	Building Permits	End of project	Trigger + 10 years	14
CAS-0300	Maintenance and Repairs	End of fiscal year	Trigger + 7 years	15
CAS-0310	Maintenance Specifications	Disposition of asset	Trigger + 1 year	16
CAS-0400	Inventory: Equipment and Furniture	Disposition of asset	Trigger + 7 years	17
CAS-0500	Space Management	End of calendar year	Trigger + 3 years	18
CAS-0510	Space Management: Annual Space Reports		Permanent	19
CAS-0500	Space Management Committee	End of calendar year	Trigger + 10 years	20

Activity

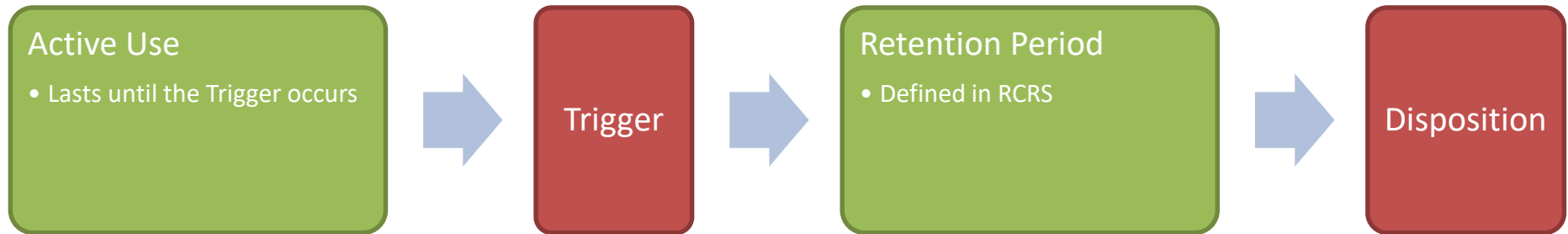|			
CAS-1000	Health and Safety: Committee	End of year	Trigger + 7 ye
CAS-1010	Health and Safety: Program	End of year	Trigger + 7 ye
CAS-1020	Health and Safety: Case Files	Date of last test or first exposure	Trigger + 40 y
CAS-1030	Health and Safety: Workplace Safety and Insurance Board: Case Files	End of case and all appeals settled	Trigger + 15 y
CAS-1100	Health and Safety: Student Orientation	End of academic year	Trigger + 5 ye
CAS-1110	Health and Safety: Student Lab Training	End of academic year	Trigger + 5 ye
CAS-1300	Radiation Safety: Committee	End of year	Trigger + 10 y

Code	Name	Trigger	Retention Period	Page
CAS-1110	Health and Safety: Student Lab Training	End of academic year	Trigger + 5 years	32
CAS-1300	Radiation Safety: Committee	End of year	Trigger + 10 years	33
CAS-1310	Radiation Safety: Licensing	License expired or revoked	Trigger + 3 years	34
CAS-1320	Radiation Safety: Security Clearances	End of employment with UOIT	Trigger + 7 years	35

CAS-1020 Health and Safety: Case Files

Description	Consists of results of tests of employees to comply with health and safety legislation and standards. Includes personal and medical records submitted to ensure suitability for a job, or to document exposure to dangerous substances.
Retention Trigger	Date of last test or first exposure
Retention	Trigger + 40 years
Responsible Unit(s)	Health and Safety
Source	
Records System	Hybrid
Citations	Designated Substances, O Reg 490/09 s. 30-31
Record Authority	VP Human Resources and Services
Disposition	Secure destruction
Records Arising from Activity	-
Retention Rationale	Alignment with DC retention schedule: HRS61 Health and Safety Programs – Case files
Personal Information	Yes
Vital Record	No
Protection	High

Records Series

Retention Period

Active Use
- Lasts until the Trigger occurs

Trigger

Retention Period
- Defined in RCRS

Disposition

Retention Period starts counting down after Trigger occurs; records are considered "Inactive".

CAS-1020 Health and Safety: Case Files

Description	Consists of results of tests of employees to comply with health and safety legislation and standards. Includes personal and medical records submitted to ensure suitability for a job, or to document exposure to dangerous substances.
Retention Trigger	Date of last test or first exposure
Retention	Trigger + 40 years
Responsible Unit(s)	Health and Safety
Source	
Records System	Hybrid
Citations	Designated Substances, O Reg 490/09 s. 30-31
Record Authority	VP Human Resources and Services
Disposition	Secure destruction
Records Arising from Activity	-
Retention Rationale	Alignment with DC retention schedule: HRS61 Health and Safety Programs – Case files
Personal Information	Yes
Vital Record	No
Protection	High

CAS-1020 Health and Safety: Case Files

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Retention Trigger	Date of last test or first exposure
Retention	Trigger + 40 years
Responsible Unit(s)	Health and Safety
Source	
Records System	Hybrid
Citations	Designated Substances, O Reg 490/09 s. 30-31
Record Authority	VP Human Resources and Services
Disposition	Secure destruction
Records Arising from Activity	-
Retention Rationale	Alignment with DC retention schedule: HRS61 Health and Safety Programs – Case files
Personal Information	Yes
Vital Record	No
Protection	High

STU-0300 Registration: Changes and Requests (Undergraduate)

Description	Supporting documentation to changes to Student Banner records, including course registration. This documentation consists of forms and other requests submitted to make changes within the Student Banner record including application for graduation, change of grade, course repeat forms, transfer credit requests and evaluations and name change requests.
Retention Trigger	Student graduates or stops attending the university
Retention	Trigger + 2 years
Responsible Unit(s)	Office of the Registrar
Source	
Records System	Paper, Banner Document Management
Citations	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40 Disposal of Personal Information, RRO 1990, Reg 459
Record Authority	Registrar
Disposition	Secure Destruction
Records Arising from Activity	• Application for Graduation • Change of Grade • Correspondence • Verification of enrolment requests • Transfer Credit Evaluations • Course repeat form/approval • Letters of Permission • Name changes • Prerequisite waivers • Transcript requests • Study permit/Passport information
Retention Rationale	Changes and requests have little value after graduation.
Personal Information	Yes
Vital Record	No
Protection	High

Retention Period

Two types of Trigger:

Annual:	• Trigger occurs at the end of the year. (may be academic, calendar, or fiscal year)
Event based:	• Tied to a specific event and could occur at any time.

CAS-1020 Health and Safety: Case Files

Description	Consists of results of tests of employees to comply with health and safety legislation and standards. Includes personal and medical records submitted to ensure suitability for a job, or to document exposure to dangerous substances.
Retention Trigger	Date of last test or first exposure
Retention	Trigger + 40 years
Responsible Unit(s)	Health and Safety
Source	
Records System	Hybrid
Citations	Designated Substances, O Reg 490/09 s. 30-31
Record Authority	VP Human Resources and Services
Disposition	Secure destruction
Records Arising from Activity	-
Retention Rationale	Alignment with DC retention schedule: HRS61 Health and Safety Programs – Case files
Personal Information	Yes
Vital Record	No
Protection	High

CAS-1020 Health and Safety: Case Files

Description	Consists of results of tests of employees to comply with health and safety legislation and standards. Includes personal and medical records submitted to ensure suitability for a job, or to document exposure to dangerous substances.
Retention Trigger	Date of last test or first exposure
Retention	Trigger + 40 years
Responsible Unit(s)	Health and Safety
Source	
Records System	Hybrid
Citations	Designated Substances, O Reg 490/09 s. 30-31
Record Authority	VP Human Resources and Services
Disposition	Secure destruction
Records Arising from Activity	-
Retention Rationale	Alignment with DC retention schedule: HRS61 Health and Safety Programs – Case files
Personal Information	Yes
Vital Record	No
Protection	High

STU-0300 Registration: Changes and Requests (Undergraduate)

Description	Supporting documentation to changes to Student Banner records, including course registration. This documentation consists of forms and other requests submitted to make changes within the Student Banner record including application for graduation, change of grade, course repeat forms, transfer credit requests and evaluations and name change requests.
Retention Trigger	Student graduates or stops attending UOIT
Retention	Trigger + 2 years
Responsible Unit(s)	Office of the Registrar
Source	
Records System	Paper, Banner Document Management
Citations	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40 Disposal of Personal Information, RRO 1990, Reg 459
Record Authority	Registrar
Disposition	Secure Destruction
Records Arising from Activity	• Application for Graduation • Change of Grade • Correspondence • Verification of enrolment requests • Transfer Credit Evaluations • Course repeat form/approval • Letters of Permission • Name changes • Prerequisite waivers • Transcript requests • Study permit/Passport information
Retention Rationale	Changes and requests have little value after graduation.
Personal Information	Yes
Vital Record	No
Protection	High

STU-0610 Financial Aid and Awards: OSAP documentation

Description	All documentation required to support the distribution of Ontario Student Assistance Program funds to students, including changes, appeals and other supporting documentation. Excludes STU-0600 Financial Aid and Awards: Distribution
Retention Trigger	End of aid year
Retention	Paper: Trigger + 3 years BDM: Trigger + 4 years
Responsible Unit(s)	Office of the Registrar
Source	
Records System	Paper, Banner Document Management
Citations	OSAP Records Management Guideline: OSAP Record Retention and Archiving
Record Authority	Registrar
Disposition	Paper: Transfer to Ministry Archiving BDM: Secure deletion
Records Arising from Activity	- Supporting Documentation - Change Documentation - Appeal Documentation - Distribution Documentation
Retention Rationale	Based on OSAP records management guideline. Paper must be maintained for transfer to ministry archiving at the end of the retention period. Retain BDM for an additional year so records are accessible in the intervening period before Ministry has scanned the records.
Personal Information	Yes
Vital Record	Yes
Protection	High

Responsible Unit

- May be a specific unit or it may be "Originating Unit"

- Common records series are records series with multiple "Originating Units"

- Two groups of records series to consider:
  - You are the responsible unit
  - Common records series where you are the originating unit.

Classification Exercise

- I will send out after the training. There are five examples of types of records that are found at the University.
- Take the record type from each example and do your best to match it up with a records series from the RCRS.
- Answer these three questions:
  - What is the major function?
  - What is the records series?
  - Who is responsible for keeping this file?
- The RCRS is available at:
  https://usgc.ontariotechu.ca/compliance/records-management/records-classification-and-retention-schedule/index.php

Thank you for your time

- Will send out a link to the RM Questionnaire. Please complete for each storage location.
- Will send out a guide to using the RCRS, including descriptions of all sections, what responsible units apply to each.
- Please complete the classification exercise to familiarize yourself with the RCRS.
- We will schedule training sessions for Inventory and Classification.
- If you have any questions, call 6705 or email RecordsManagement@ontariotechu.ca