Records Management

Module 3: Tracking and Disposition

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Training Goals

At the end of the session, participants will know:

- The steps to defensibly dispose of records.
- How to identify eligible records.
- Methods for tracking retention triggers.
- What documentation needs to be kept for every disposition.

Agenda

- Recap
- Record Disposition Procedure
- Issues that may need to be addressed
- Tracking Retention Periods
- Disposition Process
  - Calculating the retention threshold
  - Evaluating Records for Disposition
  - Filling out the disposition form
  - Review of eligible records

Recap

Storage Locations

Inventory

Classification

So now what?

It's disposal time!

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 record 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

Records Disposition Procedure*

- Ensure that disposition of University Records happens systematically.
- Keep a record whenever disposal of University Records occurs – including both paper and electronic.
- Make sure that all disposition is approved by a Disposition Authority
- Identify operational or regulatory changes that may lead to changes to RCRS.

*Does not apply to Transitory Records.

Why keep track of disposition?

- Required by law (for certain records).
- Provide clarity about why records are no longer available.
- Demonstrate care and control throughout a record's lifecycle.
- Support the University's case that disposition was done in accordance with our own policies.

What does RM look like at Ontario Tech?

Records Liaison:

- Complete the disposition form and ensure only eligible records are included.
- Contact RM Project Coordinator to review the form.
- Obtain the Disposition Authority's Signature.

Records Management Project Coordinator:

- Review disposition forms for accuracy and completeness.
- Have disposition forms reviewed by the General Counsel's Office.
- Work with Records Liaisons to plan for any reorganization of records to support disposition.
- Provide advice and guidance on transitory and university record disposition.

Disposition Authority

- Supervisory role with delegated authority from the Record Authority.
- Ensures that records are not subject to unanticipated operational needs.
- Signs off to authorize all disposition.

Tracking Retention Periods

Retention Period

Create/receive	Classify	Use	Retain	Dispose
• University records • Register and track	• Assign to a records series. • File appropriately for easy retrieval.	• Active record • Main value: operational • Frequent reference	• Inactive record • Retention period • Main value: audit, legal	• End of the retention period • Destroy (if no more value) • transfer to archives (if historical value)

Active	Inactive (Retention Period)

Retention Trigger

Retention Period

Active Use		Trigger		Retention Period		Disposition
• Lasts until the Trigger occurs	→		→	• Defined in RCRS	→	

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

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. |

Tracking Retention Triggers

Annual Files

- Retention Triggers must be tracked.
- Annual files must be cut off each year to create a new file. Any material in the old file that is still active should be moved or copied to the new file.
- Only keep records from a singe records series in each file.
- **The date ranges of Annual Files can be tracked on the file.**

- Examples: Accounts payable, program management, committee minutes, tracking and reports, budget, OSAP documentation

Annual Files

2016   2014   2012

2015   2013   2011

- Each drawer or cabinet has records from a different year.

- You know which drawers contain eligible records by the dates on the drawers and files inside.

- If various records series are interfiled, care needs to be taken to apply the correct retention period.

Tracking Retention Triggers

Event based files

- Two options for tracking:
- Moving files after they are closed. File by the year the Retention Trigger occurred.
  - Event date should also be tracked on the file.
- Tracked with an electronic system – either a spreadsheet or a database system that tracks and can report on the required dates.
  - Files tracked in a spreadsheet should be entered when created.

- Examples: project files, student records, academic advising, exams, policy instruments.

Event-based files
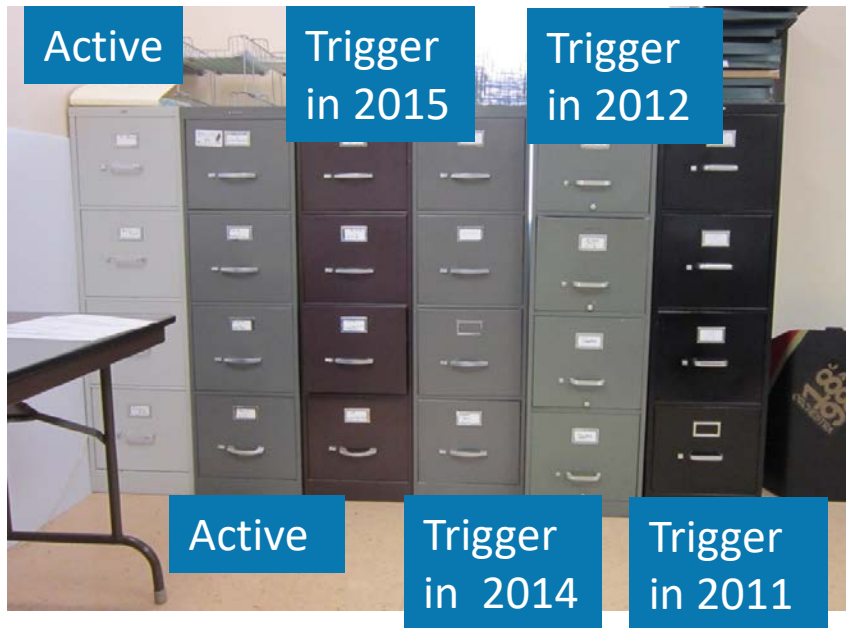
Active

Trigger in 2015

Trigger in 2012

Active

Trigger in 2014

Trigger in 2011

- The two left-most cabinets have records that are still active.
- When the retention trigger occurs for a file, it is moved to the cabinet in which the trigger occurs.
- You know which drawers contain eligible records by the dates on the drawers.
- Within the drawers, files can still be arranged by student number, account number, date, etc for retrieval.

Event-based files

Active   Trigger in 2015   Trigger in 2012

Active   Trigger in 2014   Trigger in 2011

Watch out for misfiled records!

- The two left-most cabinets have records that are still active.
- When the retention trigger occurs for a file, it is moved to the cabinet for the year in which the trigger occurs.
- You know which drawers contain eligible records by the dates on the drawers.
- Within the drawers, files can still be arranged by student number, account number, date, etc for retrieval.

Event based files

- Banner generates a report to serve as a pick list.
- For example: all student files with graduation date in year 2012, 2011, 2010, etc.
- These files are pulled for:
  - Filing as Inactive
  - Disposition
- As applicable

Event based files

- Manual tracking may be necessary if no database tracks the trigger date.
- An existing spreadsheet may exist that tracks file/project completion. This spreadsheet could be used as a pick list.
- Or a new spreadsheet could be created, as below:

		File Tracking Sheet				
Organizational Area						
Completed by (name)						
Date						
Location ▼	**File Title** ▼	**Records Series** ▼	**Retention Trigger Date** ▼	**Retention Period** ▼	**Trigger Date** ▼	**Eligibility Date** ▼
DTA100						
DTA100						
DTA100						
DTA100						
DTA100						

Issues that may need to be addressed before disposition

Identify and Classify…

Storage Locations

Inventory

Classification

Identify and Classify

- Did you identify any folders of records that included more than one Records Series?

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.

Identify and Classify

- Did you identify any records that another unit is responsible for?

Transitory Copies

- 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.

Identify and Classify

- Did you identify any annual files that are not being cut off cleanly at the end of the year?

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.

Identify and Classify

- Do you have difficulty determining which files are active and which are inactive?

- Are retention triggers not being tracked?

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.

What files do you have that may need to be tracked this way?

File Tracking Sheet

Organizational Area				
Completed by (name)				
Date				

Location	File Title	Records Series	Retention Trigger Date	Retention Period	Eligibility Date
DTA100					
DTA100					
DTA100					
DTA100					
DTA100					

Evaluating Records for disposition

Inventory and Classification Sheet

Inventory							Classification											
							Primary classification						Secondary classification					
Location	Description	Storage E	Active/	From	To	Volu	Records Series Code (primary)	Records Series Title (primary)	Retention Period	Retention Trigger	Trigger Tracking	Responsible Unit	Records Series Code (other)	Records Series Title (other)	Retention Period (other)	Retention Trigger (other)	Responsible Unit (other)
DTA123	Student Files (Graduated)	Boxes	Inactive	2004	2009	32	STU-0100	Admissions: Undergraduate	Not enrolled: Trigger + 1 year Enrolled: Trigger + 2 years	Not enrolled: End of admit term Enrolled: Student graduates or stops attending UOIT	Student Information System	Office of the Registrar	STU-1100	Academic Misconduct: Decisions	Trigger + 7 years	Decision made	Office of the Registrar
DTA123	Student Files (Graduated)	Open Shelves	Both	2010	2016	28.5	STU-0100	Admissions: Undergraduate	Not enrolled: Trigger + 1 year Enrolled: Trigger + 2 years	Not enrolled: End of admit term Enrolled: Student graduates or stops attending UOIT	Student Information System	Office of the Registrar	STU-1100	Academic Misconduct: Decisions	Trigger + 7 years	Decision made	Office of the Registrar
DTA123	Student files (not graduated	Open Shelves	Both	2003	2015	33	STU-0100	Admissions: Undergraduate	Not enrolled: Trigger + 1 year Enrolled: Trigger + 2 years	Not enrolled: End of admit term Enrolled: Student graduates or stops attending UOIT	Student Information System	Office of the Registrar	STU-1100	Academic Misconduct: Decisions	Trigger + 7 years	Decision made	Office of the Registrar
DTA123	Degree Audits	Boxes	Inactive	2007	2015	11	STU-0510	Graduation Authorization	Trigger + 5 years	End of academic year	Filing System	Office of the Registrar			#N/A	#N/A	#N/A	#N/A
	change forms (course change, transcription							Registration: Changes and		Student graduates or stops	Student			Academic			

Calculate Eligibility Threshold

Each records series will have a different eligibility threshold.

Any records with retention triggers that occurred before the eligibility threshold are eligible for disposition.

Start of current year – **Retention Period** = **Eligibility Threshold**

**Make sure you're using the right kind of year (calendar/fiscal/academic/etc.)

Calculate Eligibility Threshold

Start of current year – **Retention Period** = **Eligibility Threshold**

FIN-0200 Accounts Payable
Retention period: 7 years
Retention trigger: End of fiscal year

April 1, 2016 – 7 years = April 1, 2009

Any A/P records with a trigger date before January 1, 2009 will be eligible for disposition.

Calculate Eligibility Threshold

Start of current year – **Retention Period** = **Eligibility Threshold**

LAD-0400 Project management
Retention period: 5 years
Retention trigger: End of project

January 1, 2016 – 5 years = January 1, 2011

Any general project files with a project end date before January 1, 2011 will be eligible for disposition.

Add Eligibility Threshold

			Inventory							Classificat
									Primary classification	

Location	Description	Storage E	Active/	From	To	Volu	Eligibility Threshold	Records Series Code (primary)	Records Series Title (primary)	Retention Period	Retention Trigger	Trigger Tracking	Responsible Unit
DTA123	Student Files (Graduated)	Boxes	Inactive	2004	2009	32	**01-Sep-14**	STU-0100	Admissions: Undergraduate	Not enrolled: Trigger + 1 year Enrolled: Trigger + 2 years	Not enrolled: End of admit term Enrolled: Student graduates or stops attending UOIT	Student Information System	Office of the Registrar
DTA123	Student Files (Graduated)	Open Shelves	Both	2010	2016	28.5	**01-Sep-14**	STU-0100	Admissions: Undergraduate	Not enrolled: Trigger + 1 year Enrolled: Trigger + 2 years	Not enrolled: End of admit term Enrolled: Student graduates or stops attending UOIT	Student Information System	Office of the Registrar
DTA123	Student files (not graduated	Open Shelves	Both	2003	2015	33	**01-Sep-14**	STU-0100	Admissions: Undergraduate	Not enrolled: Trigger + 1 year Enrolled: Trigger + 2 years	Not enrolled: End of admit term Enrolled: Student graduates or stops attending UOIT	Student Information System	Office of the Registrar
DTA123	Degree Audits	Boxes	Inactive	2007	2015	11	**01-Sep-11**	STU-0510	Graduation Authorization	Trigger + 5 years	End of academic year	Filing System	Office of the Registrar
	change forms (course change, transcription								Registration: Changes and		Student graduates or stops	Student	

Add Eligibility Threshold

- Use the right year end
- Watch for records with event-based triggers
- Check each records series to see if there are any eligible dates

DTA123	Verification o	Boxes	Inactive	2005	2011	10	**01-Sep-14**	STU-0300	Registration: Changes and Requests (Undergraduate)	Trigger + 2 years	Student graduates or stops attending UOIT	Student Information System
DTA123	Convocation programs	Boxes	Inactive	2007	2012	1	**01-Jan-01**	GCIR-0910	Communications: Publications and Media Releases	Trigger + 15 years	End of calendar year	Filing System
DTA123	BDMS docume	Boxes	Active	2015	2016	6	**Transitory Copies**	STU-0300	Registration: Changes and Requests (Undergraduate)	Trigger + 2 years	Student graduates or stops attending UOIT	Transitory Copies
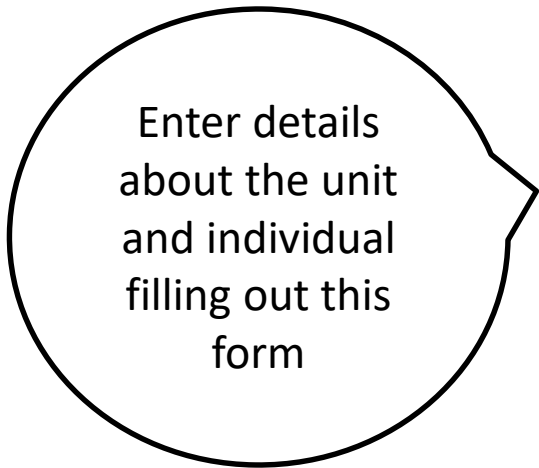
Record Disposition Authorization Form

File #:	
Department, Faculty or Office:	
Name of Contact:	
Telephone/email:	
Date:	

Enter details about the unit and individual filling out this form

Section A: Eligible Records

To be completed by Responsible Unit. Insert additional rows if necessary

Code	Description	Quantity	Trigger Date Range
☐	Detailed record listing attached		
With respect to these records:			
Are there other copies of these records?		Yes ☐	No ☐
Are these electronic records?		Yes ☐	No ☐
Are you aware of any ongoing Records Hold, audit, investigation, or litigation involving these records? Describe below.		Yes ☐	No ☐

Section B: Legal Review of Eligible Records

To be completed by the Office of the University Secretary and General Counsel

With respect to these records, I have reviewed the disposition form, and I am satisfied that there is:	
☐	No existing Litigation Hold in respect to these documents.
☐	No ongoing proceeding, claim or other legal matter involving these documents.
☐	No anticipated potential proceeding, claim or other legal matter likely to involve these documents.
☐	No ongoing or anticipated access to information requests involving these documents.
The following records are subject to a Records Hold and must be preserved until further notice:	
☐	All records
☐	No records
☐	Some records (describe below)

Completed by (name):	
Signature:	
Date:	

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Section A: Eligible Records

Start transferring eligible records from I&C sheet to Disposition Form.

Records Series Code: Enter the records series code from the RCRS

Section A: Eligible Records

To be completed by Responsible Unit. Insert additional rows if necessary

Code	Description	Quantity	Trigger Date Range
STU-0100			
STU-0510			
☐	Detailed record listing attached		

With respect to these records:		
Are there other copies of these records?	Yes ☐	No ☐
Are these electronic records?	Yes ☐	No ☐
Are you aware of any ongoing Records Hold, audit, investigation, or litigation involving these records? Describe below.	Yes ☐	No ☐

Section A: Eligible Records

Description: Provide a summary of the eligible records. This should include the number of files/boxes, and a brief description of the types of records.

The description should match up with the Records Series code provided.

Section A: Eligible Records

To be completed by Responsible Unit. Insert additional rows if necessary

Code	Description	Quantity	Trigger Date Range	Eligibility Threshold
STU-0100	basis of admission for graduated students	32 boxes		
STU-0510	signed degree audits for graduating students	11 boxes		
☐	Detailed record listing attached			
With respect to these records:				
Are there other copies of these records?			Yes ☐	No ☐
Are these electronic records?			Yes ☐	No ☐
Are you aware of any ongoing Records Hold, audit, investigation, or litigation involving these records? Describe below.			Yes ☐	No ☐

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Section A: List of Records Attached

- Did you use a file tracking sheet or external database report to track retention trigger dates?
- If so check "yes" and include a copy of the report with the disposition authorization form.

Section A: Eligible Records

To be completed by Responsible Unit. Insert additional rows if necessary

Code	Description	Quantity	Trigger Date Range	Eligibility Threshold
STU-0100	basis of admission for graduated students	32 boxes		
STU-0510	signed degree audits for graduating students	11 boxes		
X	Detailed record listing attached			
With respect to these records:				
Are there other copies of these records?		Yes ☐	No ☐	
Are these electronic records?		Yes ☐	No ☐	
Are you aware of any ongoing Records Hold, audit, investigation, or litigation involving these records? Describe below.		Yes ☐	No ☐	

Section A: List of Records Attached

- Did you use a file tracking sheet or external database report to track retention trigger dates?
- If so check "yes" and include a copy of the report with the disposition authorization form.

Section A: Eligible Records

To be completed by Responsible Unit. Insert additional rows if necessary

Code	Description	Quantity	Trigger Date Range	Eligibility Threshold
STU-0100	basis of admission for graduated students	32 boxes	AY Sept. 2004 - Aug 2009	Sept 1 2014
STU-0510	signed degree audits for graduating students	11 boxes	AY Sept. 2007- Aug 2011	Sept 1 2011
X	Detailed record listing attached			
With respect to these records:				
Are there other copies of these records?		Yes ☐	No **X**	
Are these electronic records?		Yes ☐	No **X**	
Are you aware of any ongoing Records Hold, audit, investigation, or litigation involving these records? Describe below.		Yes ☐	No **X**	

Section A: List of Records Attached

- **Trigger Date:** The date the retention trigger occurred for a particular file.
- **Trigger Date Range:** Provide the date range of file Trigger dates going for disposition at this time if there are multiple Trigger dates.

Section A: Eligible Records

To be completed by Responsible Unit. Insert additional rows if necessary

Code	Description	Quantity	Trigger Date Range	Eligibility Threshold
STU-0100	basis of admission for graduated students	32 boxes	AY Sept. 2004 - Aug 2009	Sept 1 2014
STU-0510	signed degree audits for graduating students	11 boxes	AY Sept. 2007- Aug 2011	Sept 1 2011
X	Detailed record listing attached			

With respect to these records:			
Are there other copies of these records?	Yes ☐	No **X**	
Are these electronic records?	Yes ☐	No **X**	
Are you aware of any ongoing Records Hold, audit, investigation, or litigation involving these records? Describe below.	Yes ☐	No **X**	

- Show Inventory & Classification sheet in Excel

Review of eligible records

Disposition review steps

RM Liaison	RM Project Coordinator	General Counsel's Office	Disposition Authority	RM Liaison	RM Project Coordinator
• Complete the Disposition Form	• Review Eligibility Calculations	• Review for access requests, legal holds and potential litigation	• Review operational needs • Approve disposition	• Ensure only eligible records are pulled for disposition • Complete the disposition	• Retain the disposition form

Disposal Occurs

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Review of Eligible Records

Section B: Legal Review of Eligible Records

To be completed by the Office of the University Secretary and General Counsel

With respect to these records, I have reviewed the disposition form, and I am satisfied that there is:		
☐	No existing Litigation Hold in respect to these documents.	
☐	No ongoing proceeding, claim or other legal matter involving these documents.	
☐	No anticipated potential proceeding, claim or other legal matter likely to involve these documents.	
☐	No ongoing or anticipated access to information requests involving these documents.	
The following records are subject to a Records Hold and must be preserved until further notice:		
☐	All records	
☐	No records	
☐	Some records (describe below)	
Completed by (name):		
Signature:		
Date:		

Review of Eligible Records

- Reasons records may not be disposed of:
  - Access to information requests
  - Legal holds or pending litigation
  - Unanticipated audit or operational reasons

Legal Holds and Access Requests

- The Office of the General Counsel will review all disposition forms.
- If a record is subject to an access request or a legal hold, don't destroy it, **even if it is eligible** for disposition.
- Keep it apart from any eligible records to prevent accidental disposition.

Section C: Approval

Section C: Approval

To be completed by Disposition Authority

With respect to these records, there is	
☐	No existing Records Hold, audit, or other operational needs preventing disposition.
☐	No ongoing proceeding, claim or other legal matter involving these documents.
Approved by (name):	
Title:	
Signature:	
Date:	

- The Disposition Authority must approve disposition before it occurs.
- If the Disposition Authority decides there is an urgent need to retain eligible records for unanticipated operational or audit needs, they can be placed on an operational holds.
  - Operational holds should indicate which records are to be held, in writing.
  - Repeated operational holds may be a sign that the retention period needs a review. Operational holds should be reviewed every year.

If records under hold are identified…

- Separate those records from the eligible records.

- Remove them from the disposition form.

- Make sure you don't dispose of them.

Dispose of eligible records

Before disposition

- The Disposition Authority must approve disposition before it occurs.

Section C: Approval

To be completed by Disposition Authority

With respect to these records, there is	
☐	No existing Records Hold, audit, or other operational needs preventing disposition.
☐	No ongoing proceeding, claim or other legal matter involving these documents.
Approved by (name):	
Title:	
Signature:	
Date:	

Methods of disposition

- Destruction
- Secure destruction
  - Maintains security throughout destruction. Makes the record unrecoverable.
  - Ex: records containing personal information.
- Transfer to third party*
  - Ex: OSAP documents.
- Transfer to archives*
  - Ex: Board minutes, academic calendar.

* Transfer of records must be done under a written agreement. Obtain a transfer receipt.

Secure destruction

- Most records will require secure destruction.

- This can be accomplished by:
  - Arranging for a shredding service pickup by Iron Mountain (Grey bin or arranged pickup – depends on volume)
  - Shredding by hand using office equipment

Document Disposition

Section D: Disposition

To be completed by staff completing or witnessing disposition

Disposition method:	
Completed by (name):	
Signature:	
Date completed:	
If disposition involves transfer to a 3rd party for retention or destruction, please complete the following section and attach a certificate of destruction or a transfer receipt.	
Witness to transfer:	
Date of transfer:	

- If you get shredding service pickup, obtain off-site shredding packing slip

- If you are shredding in-house, the individual who does the shredding should sign off to indicate the shredding was completed.

```
****************************************************************************
     ROUTE: ZA  DIST-BLDG: TC-    Order: 208720934 CUST: OSSSA   DIV: UOIT
                                                            DEPT: 61-REGISTRAR
****************************************************************************
```

```
     SHIP TO:DTA120S                  Transmittal Received:  YES   NO
ONTARIO SHARED SERVICES-ABC CENTRAL
61 CHARLES ST                            Activity Code: A
ROOM DTA 120    FLOOR 1                   Bill To Div : UOIT
REGISTRARS OFFICE                         Bill To Dept: 61-REGISTRAR
OSHAWA, ON L1H 4X8                       Stor Dept Bill: NO
Floor: 1
CARRIE LEBLANC
(905) 721-8668 ext 3156


TC-B1                                     How Received: STANDING ORDER
                                        Last Modified By: AUTO
Service: NORMAL                                On: 09/17/2016
         09/20/2016  5:00 PM EDT               At: 12:37 AM
         Next Visit: 10/18/2016
```

```
*************************** PACKING SLIP DETAIL ****************************

Quantity Container                   Service               Wit Srch Stgd
---------------------------------------------------------------------------
   2   65-GALLON CONTAINER           SWAP                  NO  NO   NO


-------- ----------------------------- ----------------------------- --- ---- ----

*************************** PACKING SLIP SUMMARY ****************************
```

```
Shipping Charges: _____          Count    Notes

* *** Extra Actions *** *     Bags [_] _____ _____

_____ _____     Bins [_] __2__ _____

_____ _____     Boxes [_] _____ _____

_____ _____     Consoles [_] _____ _____

_____ _____     Total    _____ _____

_____ _____              [_] Delivery Made


Customer's Signature    Date    Driver's Signature
```

Evaluate RCRS and record holdings

Section E: Changes to Recordkeeping

Have you identified any issues with the RCRS?

- Legislation or regulation changes
- Process or technology changes
- New guidance from professional bodies or accreditation bodies
- Changes to responsibility for recordkeeping

Please let us know on the form!

Section E: Changes to Recordkeeping

Complete this section if there have been changes to recordkeeping requirements in your unit over the past year. Changes may include:

1. Changes to legislation or regulations
2. Directions from professional or accreditation bodies
3. Changes to information systems used in your unit
4. New or changed responsibility for keeping certain records

Please include copies of any reference material that will support a review of Record Series.

Description of changes:	
Affected records series:	
Record Authority for affected records series:	
Contact person for records series review:	

Please submit this form electronically to the Office of the University Secretary and General Counsel

Documents required

Completed, authorized disposition form

Proof of disposition
- Form signed to witness disposition
- Transfer receipt (for OSAP, from Archives)
- Offsite shredding packing slip (from Iron Mountain)

Any supplementary reports
- Database printouts
- File tracking sheets

When you have all the documentation…

Send to: RecordsManagement@ontariotechu.ca

After disposition

- Update the inventory and classification sheet to remove all records disposed of.
- We will look at the change in record inventory before and after disposition.
- We can project what volume of records will be created and stored in a typical year to determine:
  - What are the record storage needs at Ontario Tech?
  - What will they be in the future?

Review of disposition steps…

1. Evaluate your record holdings for eligible records
2. Make sure only eligible records are included in your disposition report
3. Send the report to RecordsManagement@ontariotechu.ca to have the General Counsel's Office review eligible records for pending litigation, legal holds and access to information requests
4. Get signoff on disposition from your Disposition Authority
5. Arrange for record disposition.
6. Sign to witness the date of disposition or obtain a receipt from the company that does disposition.
7. Send a copy of your signed report to RecordsManagement@ontariotechu.ca for retention.

Disposing of Transitory Records

Disposing of Transitory Records

- After disposition of eligible records, we still need to deal with transitory records.
- Everyone needs to be involved for a day – look for:
  - Eligible records
  - Duplicate records
  - Transitory records
  - Other junk
- Distribute "cheat sheets" to help decide what records can be destroyed.
- RM Coordinator will be available to be on site to answer any questions.
- Keep track of stats on the progress units make and publish a leaderboard.
  - *If you're disposing of transitory records, please keep track and let me know!*

Examples of Transitory Records

- Advertising materials and junk mail
- Blank information media such as obsolete stationery and blank forms
- Notices of social events such as retirements or office parties,
- Duplicate copies used for convenience
- "FYI" email notices on meetings, holidays, boardroom reservations etc.,
- Photocopies or extra copies of departmental publications, or
- Draft documents, working or research materials used in preparation for the final version
  - *(where these are not covered by another records series)*

Thank you for your time

- Please complete the Record Disposition form for your unit and send to RecordsManagement@ontariotechu.ca
- We will schedule a meeting to go over the Disposition form for your unit.
- We will schedule a time for shredding / disposition of eligible records.
- If you have any questions, call 6705 or email RecordsManagement@ontariotechu.ca