RECORDS MANAGEMENT PROCEDURE

PROCEDURE #:	500.09.01.01
SECTION:	Executive Administration
RELATED POLICY:	500.09.01 Records Management
ORIGINAL APPROVAL DATE:	March 1, 2014
LATEST APPROVAL DATE:	**April 24, 2018**
APPROVING AUTHORITY:	Original signed by President + CEO

Purpose

Records management is an essential activity which ensures information evidencing the credibility of business transactions, activities, management oversight and corporate governance is appropriately managed.

Records management is the systematic control of all official Alberta College of Art + Design (ACAD) records during the various stages of their life cycle: from their creation or receipt, through their processing, distribution, maintenance and use to their final disposition.

The purpose of the records management procedures is to establish the records management practices all ACAD employees are expected to follow.

Scope

This procedure applies to all of ACAD's Official Records regardless of medium or characteristics, made or received by the College that is evidence of operations and has value requiring its retention for a specific period of time. This procedure will ensure records no longer required by ACAD are systematically destroyed, while valuable information is protected and maintained in a manner facilitating its access and use, while in compliance with all relevant legislation.

Definitions

Certificate of Destruction: Documents the disposal of specific records in conformity with this procedure and associated appendixes. A certificate of destruction is a permanent record.

Coordinator:	The Finance + Corporate Services representative who facilitates functions in this Procedure.
Department representative:	Identified by the respective record owner and deemed responsible for compliance with this Procedure. The Coordinator will maintain an inventory of department representatives.
Record centre box:	Commonly described as a cubic-foot container, is 10 inches high by 12 inches wide and 15 inches long. Maximum external measurements are 10.5 inches high by 12.5 inches wide by 16.5 inches long.
Official Record:	Defined as recorded information, regardless of medium or characteristics, made or received by the College that is evidence of its operations and has value requiring its retention for a specific period of time.
Transitory Records:	Records that are required for a very short period of time and have no further value beyond an immediate or minor business need or these records may be made obsolete by an updated version of the record. Transitory records can be routinely destroyed or deleted after thirty (30) days. In some situations, Transitory Records must NOT be destroyed. If a Freedom of Information and Protection of Privacy (FOIP) request is received on a subject pertaining to College Transitory Records, the College's ability to destroy them is suspended until the applicant's request has been processed and any appeal or appeal period has been completed. Similarly, relevant Transitory Records should not be destroyed while any legal action, such as discovery, is underway. Examples of Transitory Records include:

- Material including solicited or unsolicited information you receive from outside businesses or individuals about their products or services
- External publications
- Draft documents and working materials, excluding legal documents, policy, budgets, standards, guidelines or procedures
- Duplicates where nothing has been added, changed, or deleted; the copies have been used for reference or information purposes only; and the master version of the document has been filed in an official filing system.

Obsolete:	No longer produced or used; out of date. The responsibility to determine when an Official Record is obsolete rests with the department deemed to be the owner of the Official Record.
Record owner:	Head of the Department, or designate, that requires the record for the conduct of ACAD business.

Records centre:	**A** specially designed facility that provides storage for records that are consulted infrequently but that must be retained for legal or operational reasons. The records centre is a contracted vendor of ACAD.
Retention Schedule:	A classification list that includes information about how long each type of record should be kept (the retention period) and what should happen to the record at the end of that period (disposition).
Supersede:	To take the place of. The responsibility to determine when an Official Record is superseded rests with the department deemed to be the owner of the Official Record.
Transmittal Sheet (T-Sheet):	A Records centre document which is used to inventory and verify the transfer and storage of ACAD Official Records at the Records centre (offsite) storage facility.

Procedures

1   General records management practice

1.1   All records in the custody and control of ACAD shall be managed in accordance with Procedure 200.23: Access to Information and Protection of Privacy, this Procedure and the associated appendixes.

1.2   Implementation of retention periods recorded in the Retention Schedule, are calculated from the date on which the official record is superseded or obsolete. In many cases, this is a specific event or action that is specified on the schedule. In other cases, it is the end of a calendar or fiscal year.

1.3   Generally, official physical records will be kept onsite to a maximum of three years. Once this timeframe is exceeded, the record is ready for physical transfer to the offsite storage facility.

1.4   Annually ACAD employees will review their records to determine which records are Transitory Records and can be destroyed and to determine which records are Official Records and must be retained.

1.5   Annually the Coordinator will review the offsite file storage listing to identify boxes requiring destruction and coordinate with various departments to confirm if these items can be included in the destruction.

1.6   Destruction of offsite official records will be arranged by the Coordinator. Destroyed official records will be documented via certificate of destruction.

1.7   Requests to retrieve Official Records or boxes from offsite storage are to be made by email to the Coordinator.

1.8 The record center stores records in cardboard containers known as record centre boxes. These cardboard containers have specific measurements described in the definitions of this procedure. It is the responsibility of the record owner to transfer documents and records for off-site storage in to the appropriate box.

1.9 Electronic records are subject to the retention schedule, it is the responsibility of all departments to ensure electronic records are disposed according to the applicable retention periods.

2 Physical Record transfer (offsite)

2.1 Step 1 – Records and Box Preparation

2.1.1 Record owners should consider ongoing issues that are or may affect ACAD, including: legal purposes, audit purposes, investigations, student appeals, active requests for access to information or other matters that may necessitate the retention of records onsite.

2.1.2 Using the retention schedule as a guide, record owners shall group documents by their record item number into files and/or approved boxes. It is recommended that records of one item # be grouped into a box, if this is not possible consult with the Coordinator.

2.1.3 All materials are to be boxed according to the following: destruction date; archival selection, or permanent record status in an approved file box.

2.1.4 Separate and destroy transitory records. Transitory records do not need to be inventoried nor formally managed.

2.1.5 Remove documents and files from binders, binding cases or hanging folders. If necessary, elastics, file folders, and colour paper can be used to group or separate contents.

2.2 Step 2 – Transmittal Sheet

2.2.1 Unless otherwise indicated, all fields are required. Use the retention schedule as a guide to complete all required fields.

2.2.2 Using the retention schedule as a guide, the record owner will hand write (print) the required information into a transmittal sheet.

2.2.3   Enter dates as MM/DD/YYYY.

2.2.4   Use the retention schedule to determine the:

2.2.4.1   Record ID #: (e.g. 1000)

2.2.4.2   Final Status or disposition

2.2.4.3   Eligible disposal date, rounded to the fiscal year end.

2.2.5   It is the responsibility of the department representative to ensure the department has knowledge of the files and records held off-site. Option to keep a copy of the transmittal sheet for future reference.

2.3   Step 3 – Record Transfer

2.3.1   Once the t-sheet is populated, remove the barcode sticker from the box and affix it to the correct box; OR if using stickers and generic boxes: split the small barcode from the large barcode and affix the large barcode to the box and the small barcode to the t-sheet.

2.3.2   Contact the Coordinator via email to advise that your files are ready for review and transfer. Further arrangements will be made by the Coordinator.

3   **Physical Record Retrieval**

3.1   Step 1 – Request

3.1.1   Email the Coordinator with the following information:

3.1.1.1   Box number, record code and description of the records or information sought;

3.1.1.2   The room the boxes need to be delivered to;

3.1.1.3   The number of boxes for pick up and their barcode numbers;

3.1.1.4   Note that the boxes are a retrieval;

3.1.1.5   Include Record ID #, Box Start Date and Box End Date.

3.1.2   The Coordinator will arrange for the record retrieval. Note: the contact information of the Department representative will be provided to the records centre, therefore the department representative should be aware that they may by contacted to make further drop-off arrangements.

3.1.3   The department representative will receive the records delivery.

3.2   Step 2 – Review records

3.3   Step 3 – Box Return

3.3.1   After a box retrieval, records should be returned to the offsite facility as soon as possible. It is the department representative's responsibility to ensure that retrieved records are not mixed with active records nor that they are returned as part of a new transfer.

3.3.2   Contact the Coordinator to request a pick-up.

3.4   Step 4 – Destruction of Records

3.4.1   When destroying official records it is the responsibility of the department representative to provide a list of records destroyed to the Coordinator. The list shall include:

- o Record title/brief description
- o Date range of the record
- o Record number (from retention schedule)
- o Method of destruction.

3.4.2   Information provided will be documented in a Record of Destruction created by the Coordinator.

3.4.3   It is an offence to willfully destroy any record pertaining to an active FOIP application or while any legal action is underway. The ACAD FOIP Coordinator, legal counsel, and Vice President, Administration are responsible for notifying team members when a FOIP request has been received or a legal action is underway. If you're in doubt, keep all records pertaining to FOIP applications and legal actions until you have confirmed with the FOIP Coordinator that they are transitory and may be destroyed or deleted.

Roles and Responsibilities

4   General

4.1   **Department representatives** are identified by the respective Department Executives/Record Owners and deemed responsible for compliance with the Records Management procedures. Each operating department has a code that must be referenced as a part of the physical transfer of ACAD records to the record centre. See the Administrative Guideline appended to this procedure for details.

4.2   **Finance + Corporate Services Records Management Delegate** (Coordinator) is the Institutional contact with Records centre. In the absence of this individual, the Supervisor of Bookstore+ Retail Operations is the delegate.

4.3   **Office of Finance + Corporate Services** will endeavor to arrange transfers in the most cost effective means possible as there is a cost associated with transfers and retrievals.

Related Documents

Procedure 500.10A: Appendix A Records Retention Schedule

Government Organization Act, Regulation 224/2001

Records Management Regulation

Procedure 400.23.: Access to Information and Protection of Privacy

Policy 24 Information Security

Procedure 200.22.: Information Technology Backup Retention and Disposal

Procedure 200.24.: Information Technology Information Classification