The University of British Columbia Land and Building Services	Records and Information Management
Polices and Procedures	
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Context

Records management is a core obligation affecting business records generated in the course of the University's operation. Effective management is essential to LBS's efficient operation within a framework of legislative compliance and best practice.

The legislative obligations of the *Freedom of Information* and *Protection of Privacy Acts* mandate that information be made available to the public. A framework for information and records management must be consistent throughout the organization to manage and retrieve information on demand.

Policy Statement

The Records and Information Management Policy ("RIM") is intended for use by all LBS staff. RIM applies to all recorded information, regardless of format, that documents the output of LBS's actions and transactions during its business activities.

Records are evidence of business transactions or decisions fixed in time and contain:

- content (information),
- context and
- structure.

The use or re-use of the information that changes any of these three factors results in the creation of a new record of a different transaction.

All staff members have an obligation to recognize that the records they create or use are information assets of value to LBS. The staff's responsibility is to manage these information assets on behalf of LBS in compliance with legislation, legal, business and heritage obligations and to ensure that records are accessible, accurate, kept in good condition and either held permanently or disposed of in a timely fashion as appropriate.

Policy Function

RIM defines standards for the management of LBS information and records and provides methods to:

- Identify information and classify records of value and importance that merit special attention;
- Assess quality and quantity of information such that records held are necessary, sufficient, timely, reliable and consistent with operational need;
- Determine proper use of information in accordance with legal and regulatory obligations and define roles and responsibilities for the creation, safekeeping, access, change and disposition of information.

Key Principles of Records & Information Management

Records management standards are supported by six key principles:

1.0   All information created during normal LBS activity is the property of LBS and every employee has a **duty of care** to responsibly manage records they create or use.

2.0   Manage information to support **business processes** rather than hierarchical or organizational structure.

3.0   Hold records in a managed system which is **accurate, accessible** and up to date.

4.0   Do not **retain, distribute or copy** records unnecessarily.

5.0   Adopt a **consistent approach** to the creation, indexing, storage, retrieval, revision, archiving and disposal of records.

6.0   **Manage information** in accordance with security, protection, legal, environmental and cost requirements.

1.0 Duty of Care

All LBS staff should be aware of the value of their records and the relevant legislation and regulations governing their use and retention. Because they must be responsible for the management of the information that they create or use, staff must recognize and understand the value of the information at their disposal.

The availability of information is dependent on its accessibility, and, Information is only accessible if it is managed from the point of creation. The record's creator is best placed to understand the content of the record and its value in the context of business, legal or heritage use (archival or historical Value).

LBS Records Section
To ensure that LBS's vital departmental records are managed adequately, LBS Records Section will, on a fee for service basis:
- Benchmark against industry standards and best practice and establish compliance guidelines for record keeping.
- Establish retention and disposal rules.
- Provide professional advice for records management best practice
- Provide managed services for key record creators to establish purpose-fit record keeping systems.

Departmental Records Coordinators
Designated departmental Records Coordinators should liaise with LBS Records Section staff to establish and maintain filing systems according to and in compliance with RIM.

2.0 Business Processes

To provide continuity beyond hierarchical or structural change, record-keeping systems must reflect the underlying functions of the organization rather than the organizational structure.

2.1 Business Process Map

To assess the value of records (transactions) and to create a business process map that is independent of corporate or divisional structures, LBS has adopted a "Functions and Activities Model". This model:
- reflects the corporate retention schedule and the associated record classification scheme
- identifies key record creators and holders
- highlights overlapping business processes

All record keeping systems should reflect this model.

2.2 Assessing Value

Having established the business process (function & activity) that created the record, the record's value must be established according to the following criteria (see Appendix A for definitions):

- Business value
- Legal value
- Administrative value
- Historical value

Records are then classed according to business need:

- Vital
- Important
- Useful
- Non-essential

Establishing the value and business need for a record type allows an assessment of time that the record should be kept and its possible archival value (as a permanent historical record). The retention assessment establishes if the record is core to LBS. The use of retention schedules is detailed in Section 4 of this document.

3.0 Accuracy and Accessibility

3.1 Accuracy of Records

The creation of supporting data about the record ("metadata") establishes a records context and its place in time. The standard for minimum metadata requirements includes:

- Author/creator
- Record title
- Subject & keywords
- Description
- Date of creation, as well as the date (if necessary) of any transaction relevant to the record's authenticity
- Format - Electronic records must be retained in a format that enables them to be rendered with the structure intact (including layout, formatting etc). This information should also be retained when migrating to new software environments.
- Records Series Association - Sufficient information about the record's business context should be maintained so records can be understood upon retrieval. Retaining the document content alone is not sufficient. Association of the records series with a retention schedule will provide this context.
- Version
- Links Between Records - document a sequence of activity and must be preserved. (i.e. an electronic mail message in reply to a previous one should contain the previous message or a reference to it.)

3.2 Accessibility of records

Capturing detailed metadata allows both users of the record to determine if it contains the information they require. Efficient management of metadata eliminates unnecessary access to records. As *Freedom of Information and Protection of Privacy Act* requires the organization to make information available, this is important. It is essential that those responsible for managing records are aware of any restrictions on access to records, such as confidentiality and applicable rights issues.

Record owners should be aware of who is allowed access (nor not) and why. Similarly, those with permission need to know how to access a record, particularly in the absence of the record owner.

4.0 Retention, Disposal and Copying

4.1 Retention Schedules

LBS Records Section has established a retention schedule for use by all staff. This follows the principles outlined in section 2 of this document and has been designed

according to the Functions, Activities and Transactions model. This means that users of the retention schedule will be able to:

- Identify the functional area of LBS in which they work.
- Highlight the key record keeping activities for which they are responsible.
- Provide examples and subject definitions for the transactional records that they create, in order to achieve policy compliance.
- View examples of the record types they create and see the appropriate retention time frames. (This ensures that information is either destroyed at the appropriate time or deposited with the archives for permanent preservation.)
- Users will retain core records relevant to their area of work - the remaining records can be considered non-critical to business.
- Master sets of records will be clearly defined and the holders clearly identified in the retention schedule maintained by Records, thereby creating a mechanism for the elimination of duplicate records.
- Users will be given clear guidance on the length of time for which their records must be retained.
- A 'Knowledge map' of business critical information will be created by Records.
- The individual business areas will meet essential statutory and legislative requirements.
- LBS can dispose of, in a suitable manner, all records which are not defined as Core Records which will include duplicate records (copies of core records) and non-core records.

4.2 Records disposal

The importance of timely records disposal in compliance with retention periods set by Records is a fundamental principle of good records management, records legislation and data protection standards. Information must also be kept about records that have been destroyed and the retention schedule acts as part of this record.

4.3 Copying

The efficient and timely disposal of records is hampered by copying. It is vital that copies of records are kept to a minimum and that these are destroyed once their business need has passed. The retention schedule details master set holders for core records.

5.0 Consistency

When creating a record-keeping or management system in any format, it is essential that a level of uniformity be achieved throughout the organization, allowing changes to the structure of the organization to have little or no effect on the consistency of the corporate memory. The Functional model and the tools for record classification and retention outlined in the RIM policy allow this.

It is vital, therefore, that when establishing a new system the Records Unit is consulted. This will enable a level of consistency, ultimately providing greater efficiency and better information access.

The rules and tools established for traditional paper-based systems apply equally to the management of electronic information, either as shared drive filing systems, electronic content or records management systems (ERMS).

6.0 Risk Analysis

Efficient records management enables the organization to manage risk and thus reduce:

- Disruptions to business continuity and business critical areas due to lost or inaccessible core records.
- Risk of inability to use the records as legal submissions.
- Risk of inability to meet statutory requirements.

There are many legal and legislative requirements that LBS must satisfy. Sometimes these are explicitly defined but usually it is left to the organization to minimize risk and follow best practice. Some examples of legislation and records management overlap are found in the following table. Please refer to the retention schedule for further reference:

Legislation	*Standard*
Freedom of Information & Protection of Privacy Act (Federal & Provincial)	International Organization Standards (ISO) for Information & Documentation - Records Management (ISO 15489-1, 15489-2)
Occupational Safety and Health Regulations (Federal and Provincial)	Quality Management Systems – Information & Vocabulary (ISO 9000, 9001) Legislation
Canada Labour Code – Boiler Pressure Vessel Inspection regulations.	Canadian Standard on Electronic Records As Documentary Evidence (CAN/CGSB-72.34-2005)
Income Tax Act	
Employment Equity Act	
Evidence Act	
Environmental Protection Act	
Expropriation Act	
Canada Pension Plan	
Employment Insurance Act	

7.0 Policy Compliance

A system for monitoring policy compliance will be introduced via audit; current processes for information audits highlight areas of risk and recommend best practice methodology for improvements to record keeping systems.

Definitions of Record Value & Record Status

Value

Business Value - value in terms of contribution to business operation, includes business critical, strategy and policy records.

Financial Value - refers to records documenting receipt and use of funds, particularly financial transactions such as expenditure, revenue and costs.

Legal Value – value in terms of showing compliance with regulatory and statutory requirements including records associated with legislation. e.g. contracts

Administrative Value – records used for administrative purposes only. e.g. leave forms, absence returns, and room bookings

Historical Value - information that records the history or development of the corporation and educational environment, and may be of use for future research.

Status

Vital - Records essential to the continuing operation of LBS and those records which protect the rights and interests of the organization, employees, customers and the public. e.g. contracts

Important - Records necessary for the continuing operation of LBS and which may contain information to support vital records or may be of a corporate or historical value. e.g. policy, research management

Useful - Records which may be vital or important to the department but are of little value to the corporation. May be of historical value. e.g. correspondence

Non-essential - Transitory correspondence, purely informational with a very short time value. Includes internal announcements, notice of employee activities, routine business activities, invitations to work-related events and internal requests for information.

Roles and Responsibilities for Records Management

Area of responsibility	*Group responsible*
Management of records	All LBS staff
Policy ownership	Records Management
Create & manage standards and best practice for records/information/document management	Records Management
Manage Retention Schedule	Records Management
Manage Classification System	Records Management
Advise on establishing record & document management systems	Records Management
Advise on retention and disposal of records	Records Management
Advise on value and importance of records	Records Management
Archival storage	Central University Archives
Information Audits	Records Management