



# Records Management Training – 101



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# Records Management Training – 101

## Records Management Training– Agenda

**Step 1** – Official Business Records **vs** Transitory

**Step 2** – Filing Records

**Step 3** – Filing Electronic Records

**Step 4** – Destroying Records





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## FOIP and Records Management

A FOIP request occurs when any individual seeks access to any record belonging to a public body (Mount Royal University has 30 days to respond)



- ✓ *How fast can you find the requested records?*
- ✓ *Would your response also have to include multiple copies and drafts in your possession?*
- ✓ *If the records were destroyed can you provide proof?*
- ✓ *Finding records fast is not just important for FOIP, but it is also important for efficient business operations.*





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## Step 1 – Official Business Records

An **Official University Business Record** [Document]....

- ✓ *Is created from a University business activity the document is actually about. The document often represents the original in that it is the **final version***
- ✓ *Is a document can be used to **prove** that an event or **final decision** took place at the University.*
- ✓ *Is a document that supports Mount Royal University Business Operations*
- ✓ *Provide evidence of **compliance** or protects legal rights.*





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## Step 1 – Official Business Records

Final Contracts

Policies (most recent)

Correspondence, E-mails

Student Grades

Counseling Records



SUNGARD HIGHER EDUCATION

Health Records

AP Invoices

Student Records

\*Long Term Value\*

Meeting Minutes

Program Decisions

Tax Records

*\*Original (official) records need to be retained to prove that an activity or decision actually took place (\*MRU Records Retention Schedule)*



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## Step 1 – Transitory Records

**Transitory** Records (or Documents)....

- ✓ Are documents that are not deemed as the original.
- ✓ They are only **a copy** of an original kept only provide a **temporary reference** for the activities they are about
- ✓ Are documents where the data has been **transcribed** into a formal format [**Post-its, drafts, meeting minutes**]
- ✓ Are documents that provide evidence of a very **routine transaction** [**Receipts, library service emails**]
- ✓ Are documents that are **stored in another department** that are also stored in your department as only a reference
- ✓ Contain **draft decisions** never finalized







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## Step 1 -Transitory Records

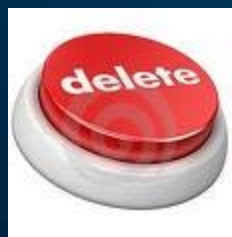
Advertising Material

Outdated Blank Forms

Draft Documents

Working Materials

E-mails: No value



Duplicate Records

\*Short Term Value\*

Books, Magazines

Photocopied Records

Post-It Notes

Helpdesk E-mails

Outdated Receipts

*\*Transitory records can be destroyed at one's own discretion –  
always destroy in a secure manner (shredding) to limit the risk of privacy breach*



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## Why know the difference? (Official vs Transitory)

- ✓ Only Official Business Records need to be formally classified and *impartially retained based on a legal retention period.*
  - ❖ (Only 50% of the records produced need to be “managed”)
  - ❖ (Many Transitory Records can be shredded when not req'd)
- ✓ Easily translates into more storage space as Transitional Records can be destroyed quickly and informally
- ✓ Makes it easier to find records  
(Less paper to comb through in your office)
- ✓ Enhances ability to quickly respond to a FOIP request
- ✓ Helps identify Transitory Records that have long term value





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## Step 2 – Filing Records

*How do I label my folders?*

File Title	VOL #
Retention Code <i>[From MRU Retention Schedule]</i>	
Record Code Series [text] <i>[From MRU Ret. Schedule]</i>	
Start Date:	End Date:

Doe, John	VOL 1
<b>HR014 (*10 years)</b>	
<b>EMPLOYEE RECORDS</b>	
Start Date: Feb 1, 2011	End Date:





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## Step 2 – Filing Records

*How do I label my folders?*

123456789 MRU ID # VOL 2  
**SA012 (\*Permanent)**  
**STUDENT RECORDS**

Start Date: Apr 18, 2011 End Date:

Bell Canada VOL 3  
**FI002 (\*7 years)**  
**ACCOUNTS PAYABLE**

Start Date: Feb 1, 2011 End Date:





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## Step 2 – Filing Records

**Physically grouping folders** by their labels – enhancing access

Doe, John  
HR014  
EMPLOYEE RECORDS

VOL 1

Start Date: Feb 1, 2011 End Date:



- ✓ Group, then **physically order** folders together by **Retention Code (Function)** (alpha-numeric code)
  - ✓ Sort **File Title** (Numerically or Alphabetically)
    - ✓ Example: Numerically by Contract Number, MRU Number
    - ✓ Example: Alphabetically by name, vendor name
    - ✓ Remember to protect privacy (is the folder on display?)
  - ✓ File individual Documents that pertain to **Function (Code)** and **File Title**
- \*All data for sorting has been **placed at the top (or side)** of the label
- \***Offsite Storage available** (39 cents per box monthly)



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## Step 2 – Filing Records

**Managing folders** by their labels – enhancing retention

Doe, John

VOL 1

HR014

**EMPLOYEE RECORDS**

**Start Date: Feb 1, 2011 End Date: Dec 31, 2020**



Use the label to **quickly determine** retention

- 1) Place a **Closed Sheet** in folder (MYMRU Toolkit)
- 2) Enter or write the **End Date** on the label
- 3) Check your collection annually by going through folders sorted by **Retention Code** and **End Date**

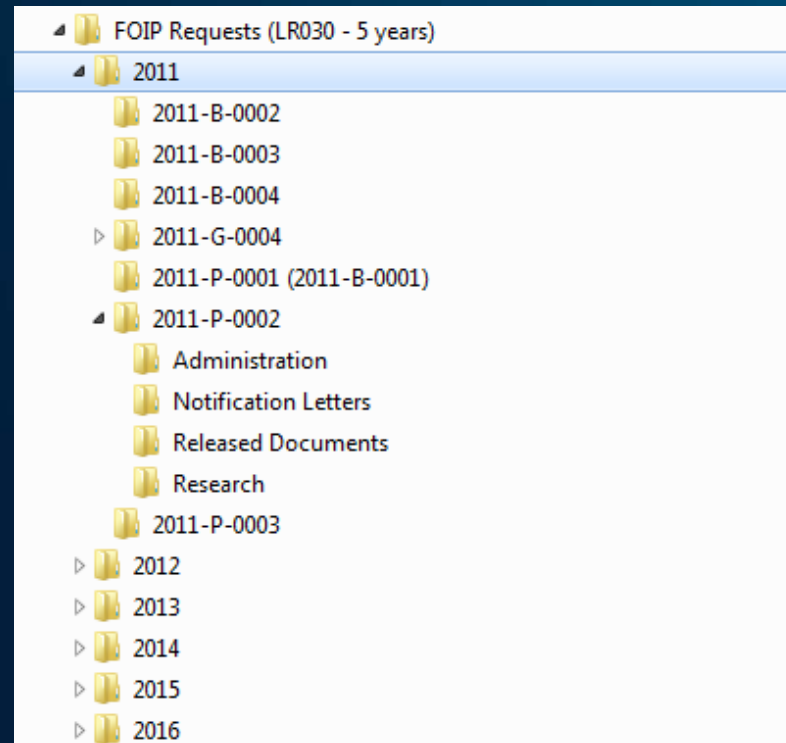




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## Step 3 – Filing Electronic Records

*Assigning a **Retention Code** to the Electronic Record*





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## MRU Records Retention (Codes)

What exactly is a **Mount Royal University Retention Code**?

- ✓ **Retention Codes** are based on operational functions represented by the alpha portion of the code.  
\*The numeric portion represents a secondary F1002, F1003
- ✓ **Retention Lengths** are based on Federal/Provincial Legislation and operational requirements

AA = Academic Affairs

AD = Administration

BP = Buildings and Properties

FI = Financial

GO = Governance

HR = Human Resources

IA = Institutional Analysis

IT = Information Technology

LR = Legal and Reg. Affairs

ME = Materials and Equip.

PR = Public Relations

SA = Student Affairs

SS = Support Services







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## MRU Records Retention (Codes)

What exactly is a **Mount Royal University Retention Code?**

Code	Record Series and Scope Notes	Office of Record	Active	Inactive	Total Retention	Comments	Acts and Regulations: MRU Citations
LR030	<b>Information Management – Administration</b> Records related to the administration of the information management functions, and activities such as responding to FOIP request and the investigation of privacy breaches.  <i>Includes:</i> FOIP request responses, breach investigation files, RIM/FOIP advice files.  <i>Notes:</i> FOIP Requests facilitated through the judicial review process are transferred to (LR005).	Executive Offices (FOIP Office)	C + 4	-	5	Files related to the advice of departments	Alberta Administrative Records Disposition Authority  Alberta FOIP Act (68) Alberta Limitations Act (80,81)
		Executive Offices (FOIP Office)	C + 4	-	5	FOIP requests, breaches = 5 yrs after completion of request/resolution of breach	



### MOUNT ROYAL UNIVERSITY RECORDS RETENTION SCHEDULE

#### Mount Royal University Records Retention Schedule

Policy Type:	Management		
Policy Sponsor:	President	Effective:	January 27, 2015
Office of Administrative Responsibility:	Office of the President	Last Reviewed:	January 27, 2015
Approver:	President's Executive Committee	Approved:	January 27, 2015

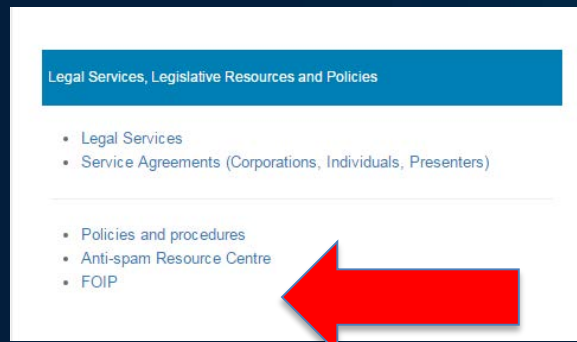




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## MRU Records Retention (Codes)

What exactly is a **Mount Royal University Retention Code**?





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## Step 4 – Destroying Records


- 1) – Observe the **Record Code** and **End Date**
- 2) – Group all records based on **Retention Code**
- 3) – List (Print) the records being destroyed...  
**(Retention Code being cited)**  
**(Description of Files)**  
**(Start Date and End Date)**
- 4) – Print the **MRU Records Retention Schedule** (the code – 1 page)
- 5) – Print the **Destruction Certificate** page and have the Manager sign. (the certificate, schedule, list)
- 6) – Destroy the records (**make them unreadable**)
- 7) – Maintain a **record of destruction** (scanned pdf)



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## Step 4 – Destroying Records



  
**MOUNT ROYAL UNIVERSITY**

**AUTHORIZATION FOR DESTRUCTION OF RECORDS**

This is to authorize the destruction of the attached list of files. The destruction of the files is approved according to the Mount Royal University Records & Information Management Policy and the University Records Retention & Disposition Schedule.

*To be completed by Department*

Submitted by: Patricia Coy (Administrative Assistant)

Submitted date: Feb 10, 2012

Department/Area: Wellness Services

Media:  Paper  Other: (Please specify) \_\_\_\_\_

Destruction Method:  Onsite shredding  Offsite shredding

Approved by Department Manager:

Name: Ben Smith Title: Manager - Wellness Services Date: Feb 12, 2012

Signature: Ben Smith

Destruction Certification no. 00000001 Destruction Date: Feb 14, 2012


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**SUPPORT SERVICES - 1010** records related to support services provided to the Mount Royal University community.

Code	Record Series and Scope Notes	Office of Record	Active	Inactive	Total Retention	Comments	Acts and Regulations: MRU, Colleges
1010	<p><b>Health Services</b> Records related to the administration of various health services within Wellness Services provided by doctors, nurses, chiropractors, acupuncturists, massage and physical therapists.</p> <p><b>Including:</b> Health information, appointment records, x-rays</p> <p><b>Also:</b> Accessibility Services (see 5.4576) Cancer Services (see 5.4623) Pharmacy &amp; Biomedicine (see 5.5052) Food Services (see 5.5072) Inclusion Centre (see 5.4672) Inhabitation (see 5.5072) Inhabitation Services (see 5.4676) Student Learning Services (see 5.4639) Student Personal Counselling (see 5.4639)</p>	Wellness Services	T-3	T	10	<p>T = Date of last service provided</p> <p>Note: Alberta Health Information Act only applies to institutions as defined in the act. Example: a physician's office.</p>	<p>Alberta FEP Act (94)</p> <p>Alberta Health Information Act (94)</p> <p>Alberta Limitations Act (91,94)</p> <p>College of Physicians &amp; Surgeons of Alberta (92)(93)(94)(95)</p>

Retention Table Exempt: In the event that most occur before a retention period begins, R = Current, Y = In Progress, S = Suspended or On Hold, T = Terminating Event

Mount Royal University Records Retention Schedule – October 1<sup>st</sup>, 2011  
Records & Information Management Local 7288

  
**MOUNT ROYAL UNIVERSITY**

**Mount Royal University - Box List**

Date: February 10th, 2012  
 Department: Wellness Services  
 Destruction Certificate Number: 00000001

Box TR-Barcode: N/A  
 Client Box Number: N/A  
 Korm Box Number: N/A  
 Offsite Date: N/A

File Code (#)	File # and File Title	Secondary Title	Start Date	End Date	Retention Code - Series
SS031	Smith, Bob - Medical Files	Wellness Services	01/01/1987	12/31/2001	SS031 - HEALTH SERVICES
SS031	Pit, Brad - Medical Files	Wellness Services	01/01/1987	12/31/2001	SS031 - HEALTH SERVICES
SS031	Joline, Angelina - Medical Files	Wellness Services	01/01/1987	12/31/2001	SS031 - HEALTH SERVICES
SS031	Allen, Woody - Medical Files	Wellness Services	01/01/1987	12/31/2001	SS031 - HEALTH SERVICES
SS031	Gretsky, Wayne - Medical Files	Wellness Services	01/01/1987	12/31/2001	SS031 - HEALTH SERVICES
SS031	Jordan, Michael - Medical Files	Wellness Services	01/01/1987	12/31/2001	SS031 - HEALTH SERVICES
SS031	Fox, Terry - Medical Files	Wellness Services	01/01/1987	12/31/2001	SS031 - HEALTH SERVICES



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*Questions?*