BRITISH COLUMBIA INSTITUTE OF TECHNOLOGY

Records Management Procedure

Procedure No.:	6701-PR1
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Category:	Records Management
Department Responsible:	Records Management and Privacy
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Objectives

This procedure applies directly to policy 6701, Records Management. This collection of procedures provides Records Custodians the proper procedures for managing records, including paper, electronic, and film formats.

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Who This Procedure Applies To

BCIT Employees

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1. Management of Active Paper Records

1.1 Objectives

Paper-based, active records are managed in office locations where they are used. Over time the electronic formats of records will become more prevalent. However, a portion of BCIT's records will continue to exist in paper format. This procedure will provide records custodians with their procedures for the management of active paper records.

Paper-based documents will be filed into uniquely identified case files that are assigned a classification number within the Directory of Records. Each case file's whereabouts becomes

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standardized through its management-approved office responsible, and retention schedule. Its availability is furthered by an automated indexing and retrieval method, the Directory of Records database. A systematized approach to purging means that records occupy office space only while in active use.

Tutorials for the Directory of Records are found at

https://helpdesk.bcit.ca/fsr/admin/rm/dorintro.html

1.2 Responsibilities

Records custodians have the responsibility to:

- Maintain the index and retrieval system of office files through the Directory of Records
- Request standard file folders from Supply Management
- Produce file folder labels through the Directory of Records database, or an appropriate alternative, indicating the classification to which files belong
- File incoming documents into the records management system to support the business process
- Use papers when needed and eliminate paper duplicates
- Use appropriate file supplies and equipment
- Conduct an annual purge of active records to destroy those no longer needed, and transfer to semi-active storage or archives those no longer needed in the office
- Assist other office staff with proper security levels to identify and retrieve the active records.

1.3 File System Arrangement

The basic options of file arrangement are alphabetic, numeric, alphanumeric, and chronological. When arranging case files within each classification, a department chooses a filing option arrangement that best serves its retrieval needs. The scope notes of the Directory provide guidance on case file arrangement.

1.4 Indexing and Filing Aids

Each records series requires an indexing tool and method. Some of BCIT's information systems will provide a sufficient indexing method for paper-based files. For instance, the Banner Finance System will sufficiently index the accounts payable files and the payroll files. In other instances, the records custodians will use the enterprise-wide Directory of Records database to create file labels, to index active and semi-active records, and provide the transfer and disposition review dates for files.

Filing aids are the lists and indexes that supplement the collection of folders. The file list shows the case file names within the department, the date of coverage for the files, the classification number, and the transfer date. Other types of filing aids are: registers; computer databases; list of standards and abbreviations. The Directory of Records database provides the following finding aids:

- File lists and indices within a custodian's filing station
- Cross references and synonym search capability
- Disposition lists
- Full-text search capability.

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1.5 Advice on Filing Systems

The Records Management Office will provide active records and filing system advice to custodians on topics such as:

- Electronic filing methods
- Indexing methods
- Filing supplies and equipment
- File labeling and colour coding methods
- Retrieval systems.

2. Management of Semi-Active Paper Records

2.1 Objectives

BCIT reduces its volume of active records, saves money, and increases accessibility to all records through the provision of semi-active records storage systems. The cost of storing low-use, paper-based records in a warehouse is one-tenth of the cost of storing the records in an office location.

2.2 Offsite Storage Locations

BCIT contracts with Butler Box and Storage Inc. for offsite storage of semi-active records. The costs for Butler Storage are paid from an Institute-wide budget managed by the Records Management Office.

A department wishing to use a different storage space for semi-active records, such as a campus location, should consult with BCIT's Manager, Records Management. An on-campus, semi-active records storage location must adhere to the following standards:

- Sufficient use of semi-active records to warrant on-site storage
- Fire, vermin, and water protection
- Adequate floor loading capacity
- Temperature (16-18 degrees Celsius) and humidity level within the acceptable ranges
- Protection from unauthorized access
- Use of shelf and storage unit locator number system for adding and deleting boxes
- Use of Directory of Records database to track the warehoused records.

2.3 Review of Active File Cabinets

Records custodians have the ongoing responsibility to purge files continually by reviewing folders and eliminating unnecessary paper, duplicates, and transitory documents.

The Directory of Records database application will indicate to custodians those files which are ready for transfer to semi-active storage or final disposition. Records custodians are responsible for annually reviewing office file cabinets to remove the following categories of files.

- Files scheduled for immediate destruction
- Files that require further storage in an approved, semi-active records storage centre
- Files that need to be transferred to BCIT's Archives.

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2.4 Preparing Boxes and Directory of Records Database Entries

The steps to prepare paper records for semi-active storage are a sequence of database and manual processes as follows. These directions are best understood when you have the database open and the menu items visible. Tutorials for the database are found at https://helpdesk.bcit.ca/fsr/admin/rm/dorintro.html

1. Database process – In the “My Case Files” menu item, select case files that have closed in the last year and update each case file with the Superseded date (“S”) and expiry dates.
2. Database process – In the “My Boxes – Box Numbers” menu item, request new, unique box numbers based on an estimate of how many boxes you expect to use.
3. Manual process – Request from the Records Management Office, through telephone or e-mail, BCIT box labels for all boxes and Butler bar code labels (ONLY for boxes that will be sent to Butler). In other words, only those boxes that will be stored at Butler require the bar code label.
4. Database process – In the “My Boxes – Files Ready to Box” menu item, select the files to be stored from the appropriate menu item and print a “pick list.”
5. Manual process – Procure standard boxes from Supply Management and place a box label on all boxes and bar code (bar code is ONLY for boxes that will be sent to Butler).
6. Manual process – Pull the files from the file cabinet and place them in the boxes; a partial box should be held in the office until it is full; package only records with a common disposition date into any one box.
7. Database process – In the “My Boxes – Assign Files to Box” menu item, enter the BCIT box number to a new box record and (ONLY for boxes are stored at Butler) also enter the bar code number.
8. Database process – In the “My Boxes – Assign Files to Box” menu item, on the same screen as above, for box location, pull down the location where the box will be stored. If at Butler, then indicate “Non-BCIT” location, and click on “Butler” in the location box. If the box will be stored on campus, indicate “BCIT” location, then the building and room number on campus. Click on the case files, that appear in a list, that have been placed within each box; and the database will now show that each case file so-assigned is placed within a BCIT box number.
9. Manual process – After all boxes have been filled with files, and the database has been edited to show which box each file is placed in, phone the Records Management Office for approval to store. The Manager, Records Management will stop by your office to double check the quality of data entry and ensure that the boxes are ready for storage.
10. Database process – On the “My Boxes – Box Numbers” menu item, click on “box picked up” within each box record. Now you have concluded the process.
11. Manual process – The Records Management Office will phone Butler Storage to arrange for the boxes to be picked up.

When you wish to retrieve boxes, you can use the database to identify the Butler bar code. You can then contact Butler by e-mail or phone to request that the box be delivered to your office.

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2.5 Retrieving and Refiling from Storage

The RM / FOIPOP Contact for each department will determine which staff members in the department require authorization to retrieve files and boxes from Butler Storage. Contacts should complete the "Records Retrieval Authorization" form and have authorized staff sign the form.

Upon request, the offsite records storage vendor, Butler Storage, submits files and boxes to BCIT within two hours for rush requests or the next day for regular requests. Any authorized staff member from the department can fax or e-mail Butler storage as follows:

Fax: 604-669-4312

E-mail: bbsrequest@look.ca

When you retrieve a box from storage, update the database record as follows:

1. On the "My Boxes – Box Numbers" menu item, select the BCIT box number that you are retrieving from storage; click on that box number.
2. On the screen that appears, click on the radio button "Charged out." This means that the box has been temporarily charged out of storage and will be found in your office.
3. Upon returning the box to storage, click on the button "Charged in" to indicate that the box has been returned to storage.

The following information is required by Butler to identify a file or a box for retrieval:

- Department name
- Name of person who is requesting the file or box
- Butler bar code number for the required box(es)
- File name, if the request is for a file.

It is the responsibility of the person obtaining the box from storage to return the box / file without undue delay back to Butler. The procedure to return a box or file to Butler is the same as retrieval. Contact Butler by phone or e-mail and ask to have the file / box picked up.

3. Disposition of Paper, Electronic, and Film Records

3.1 Objectives of Records Disposition

Records disposition procedures will allow records to be destroyed or transferred to BCIT's historical Archives at the appropriate time so that the volume of records at BCIT remains constant over time and contributes to cost-effective management of records.

3.2 Definition of Records Disposition

The final disposition for all records series is indicated, as a matter of BCIT policy, in the Directory of Records. This disposition is also restated in the Directory of Records database. During the active and semi-active phase of records, the department has full jurisdiction for records; however, the department's custodianship is eliminated at the disposition phase. Disposition has two categories; each is discussed below.

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3.3 Destruction

The first disposition category is physical destruction. Some records are scheduled for destruction immediately after active use; others are scheduled for destruction after the semi-active phase of retention.

Physical destruction for paper-based and film records is defined as confidential shredding. BCIT has a contract with a records shredding company for this service.

Physical destruction for electronic documents and e-mail or physical destruction of stored media is defined as deleting the documents from active computer system repositories. As BCIT retains back-up tapes, it may take more than one cycle of the back-up process to assure that an electronic record is actually deleted and no longer accessible.

3.4 Archival Retention

The second disposition category is archival retention. The Directory of Records indicates those records that will be sent to BCIT's historical Archives upon completion of active and semi-active phases of the life cycle. Once the records are accessioned into the Archives:

- The originating office no longer has the records' custodianship
- The records will be arranged and described in accordance with accepted archival standards
- Access to the records will be provided to the entire BCIT community and to the public in accordance with the physical integrity of the materials, any copyright provisions, and applicable legislation, including the Copyright Act, and the Freedom of Information and Protection of Privacy Act.

3.5 Destruction of Paper-based Records

Most categories of paper records will require a Records Destruction Authorization (RDA) when they are due for destruction. BCIT has an automated workflow for obtaining this authorization. (This electronic system replaces the previous "Records Destruction Authorization and Certificate" in hard copy.) To gain authorization, employees access the Directory of Records database system, making a "Manual" (or ad-hoc) RDA Request for non-registered materials, or an automated RDA request for registered case files or registered boxes. For other categories of records and papers, an RDA is not required, and employees will follow a different process.

There are four questions to consider in determining the appropriate records destruction process:

a) Is the record on-site or off-site?

b) Are you a records custodian, or are you not?

c) Is the record(s) registered in the Directory of Records database, or is it not?

d) What is the category of the record?

If the record(s) is housed in off-site storage, the Records Management Office will arrange for destruction approvals according to established retention schedules. For on-site materials, the category of record will determine whether an RDA is required, and the means of destruction. For records that require an RDA, records custodians and non-custodians alike are able to generate an RDA request. However, only custodians are able to make this request for records that are registered in the Directory of Records database.

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The categories of records are as follows:

1. **Scraps:** Non-confidential papers, non-records, reference materials.
   – Not registered.
   – RDA not required.
2. **Records:** Personal working records, Institute/departmental records, etc.
   – In file folders or boxes.
   – Registered and non-registered.
   – RDA Required.
3. **Ad-hoc documents and printouts:** BCIT confidential information; printouts, loose documents.
   – Not registered.
   – RDA required.
4. **Documents of a highly confidential nature:** Documents and papers that originate in sensitive departments such as HR; typically these have never been set up in departmental file folders.
   – Not registered.
   – RDA not normally required.

Note: See "Destruction of Paper Records at BCIT," Section 9 of this procedure for more detailed descriptions of the four categories, and instructions for preparing the records or papers for destruction.

The table below determines the correct process for destruction of paper-based records.

Record Location	Records Custodian?	Record is registered in DOR?	Category of Record	Authorization Process	Preparation of records for destruction
On-site	Yes or no	No	1	None required	Place in office recycling box.
			2	Manual RDA Request	Place in boxes, label, and keep secure until pick-up for destruction.
			3	Manual RDA Request	Place in boxes, label, and keep secure until pick-up for destruction.
			4	None required	Place in lock-box for pick-up and secure destruction, or shred in office shredder.
	Yes	Yes	2	Case-File RDA ("On-Site Case-Files" or "On-Site Boxes")	Label, and keep secure until pick-up for destruction.
Off-site	n/a	n/a	n/a	The RMO will arrange for destruction approvals according to established retention schedules.	

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Generating the Request for Records Destruction Authorization
For paper records that are due for destruction and require an RDA, the electronic system provides a choice of three types of RDA requests. The table above indicates which RDA request to choose: "Manual Request," "On-site Case Files," or "On-site Boxes."

The Records Management Guidebook provides detailed, step-by-step, illustrated instructions for using the automated system to generate an RDA request—for all employees and for all categories of records. Use this link to access the relevant section of the Guidebook.

Notes:

1. When generating an RDA request, all employees use the same electronic forms, but non-custodians navigate to the forms via a more limited Records Management Guidebook screen than that of custodians.
2. The boxes of records must be clearly labeled for destruction, and maintained in a secure place until scheduled for pick-up by Logistics.
3. Once the employee has completed the request process and prepared the files or boxes for pick-up, there is no further requirement on the part of the employee; Logistics will pick up the boxes for confidential destruction from the office location specified.
4. The turn-around time for pick-up of the boxes is two to three business days after the destruction authorization is received by the RMO.

3.6 Destruction of Electronic Records

BCIT staff will establish electronic directories that align to the retention classifications within the Directory of Records. From active information-system document repositories, at least quarterly each year, records custodian staff will delete those electronic documents that are no longer required.

3.7 Transfer Records to Archives

1. Records custodians who are purging active or semi-active records to apply the disposition schedules will package records for archival disposition into standard records boxes (12 x 10 x 15 inches) with an attached lid. These boxes may be requested from Supply Management. For records other than correspondence files, film, drawings, discs, etc. contact the Records Management Office for advice on suitable storage boxes.
2. Discard transitory documents and duplicates, remove paper clips of all types, and discard rubber bands.
3. Complete the Archives Accession form / inventory list for each box.
4. Once records are ready for transfer, place a copy of the inventory list in the box, retain a copy of the inventory list in your office, and send a copy of the inventory list to the BCIT Archives with the Archives Accession form.
5. Create a Logistics Request to send the box(es) to BCIT Archives, Library, SE14, room 206.

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4. Management of Electronic Documents

4.1 Objectives

Electronic records are increasing as a percentage of BCIT's total records volume. Since they exist in a micro-format and a machine is needed to identify, retrieve and read them, managing electronic documents and electronic mail messages (referred to in this procedure as "electronic documents") calls for requirements different from those that manage paper-based records.

Electronic documents received and created in the conduct of BCIT's business are considered official records and, as such, may be accessed in response to FOIPOP, litigation, and operations. At the same time, most electronic documents are transitory and must be destroyed immediately after their usefulness has expired.

This procedure aims to ensure that BCIT's electronic document practices comply with industry standards and federal legislation, which include:

- Ensuring that electronic documents are verifiable as evidence (i.e., not altered)
- Destroying, with approvals, electronic documents when their use has expired and in accordance with the Directory of Records retention schedules (i.e., not destroying them prematurely or keeping the documents for too long)
- Sending electronic documents to the official repository as indicated in BCIT's Directory of Records; either:
- Printing and filing in the paper-based records system those records for which a paper file is required according to the Directory of Records (e.g., for certain legal contracts), or
- Submitting the electronic document to the custodian for the electronic document library.

The Canadian General Standards Board (CGSB) has a standard for electronic records (CAN/CGSB-72.34). This standard is compatible with an International Standards Organization (ISO) standard on records management (ISO 15489). The federal government's Personal Information Protection and Electronic Documents Act (PIPEDA) provides guidelines for electronic systems that, if adopted by an organization, will provide support in a court of law that an organization's electronic records are the best rendition of events.

E-mail messages in which the content is of a personal nature are not records of BCIT and should be considered transitory in nature. Transitory electronic documents must be destroyed immediately after their usefulness has expired.

4.2 Electronic Documents in Business Processes

Departments that rely on electronic documents to support business processes need to:

- Document the business process in which electronic records support the business activity, stating how the process demands that electronic documents be managed
- Conduct regular audits and ensure the security of the information system
- Document procedures for: imaging and capture of information, security, and audit trail of changes to the electronic documents
- Demonstrate that the records in question are treated in a manner consistent with other records in BCIT (e.g., demonstration of routine rather than ad-hoc records destruction)
- Ensure that the structure (layout or format and links to attachments), content (the information contained in the message), and the context (information pertaining to the sender and recipients and transmittal date) are retained as evidence of BCIT business

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- Create appropriate indexing data concerning the document ("meta-data") and enter the meta-data into a suitable database.

4.3 Indexing and Saving Electronic Documents

All BCIT staff create, index, save, retrieve, distribute, and refer to electronic documents. Staff will create document folders on the computer systems (Quickplace, Lotus Notes Document Libraries, LAN Directories, e-mail systems, C drives) that align with the retention requirements and records series titles as indicated in the Directory of Records.

Staff will ensure that the privacy protection provisions of the FOIPOP legislation are adhered to in the distribution, filing, and retrieval of electronic documents.

Electronic documents will be indexed and classified such that all BCIT staff with a need to know can access the documents.

Each BCIT staff member will ensure that transitory electronic records are destroyed immediately after use.

The specific techniques and procedures for achieving this objective will depend on the information system applications. Additional procedures may be written to tailor the business practices to the technology products that will be implemented.

5. Micro-imaging of Records

5.1 Objectives

Micro-imaging of records into film or digital media results in more compact records storage, the ability to back up vital records, and the ability to distribute records digitally in business processes. Filming and digital scanning of paper-based documents have an associated cost and related benefits. The imaging of records can occur at any phase of the life cycle: semi-active or active. The objective of this procedure is to ensure that a cost and benefit analysis and business-process review are conducted prior to imaging and that the imaged records will supply evidentiary requirements.

5.2 Definitions

5.2.1 Microfilming

Microfilm reduces records storage space requirements by 98% and allows a low-cost back-up to be produced for vital records for the long term. The cost of filming documents is $.10 to $.25 per page plus the document preparation, quality assurance, and indexing time. It is economical to film paper-based records that must be retained for at least 10 years. Microfilm that is produced to archival standards will last more than 100 years.

5.2.2 Digital Imaging (or "Imaging")

Digital imaging involves scanning a paper or film original document into a digital format. The cost of digitizing documents is $.15 to $.25 per page, plus the document preparation, quality assurance, and indexing time. It is economical to digitize paper-based records when the business process efficiencies outweigh the costs of digitizing. Digital images that

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need to be retained for more than five years will need to be migrated to new technology standards as hardware and software change. Therefore, the future costs and responsibilities of migrating the digital images must be considered in the cost and benefit analysis.

5.2.3 Feasibility Studies

A feasibility study is prepared to define the scope of the records problem that will be solved by imaging or filming. The study should consider both film and digital images as options for alternative formats. This study requires the input of the business process department manager, Information Technology Services, and the Records Management Office. Imaging and filming technologies require an investment that could be shared by different schools and departments.

5.3 Document Preparation, Quality Assurance, and Indexing

Imaging and filming technologies necessitate a process of preparing documents by removing staples, rubber bands, and file folders, and filming / digitizing the source documents. After scanning, the quality of images needs to be checked on a sampling basis to assure the accuracy of the scanning / digitizing processes.

An indexing plan needs to be established to meet all the records' retrieval needs and to use an appropriate database system for the index. After scanning, staff within the business process will create the document index.

5.4 Imaged / Filmed Records as Documentary Evidence

Following are the criteria of a records management program which enables its imaged or filmed records to be acceptable as evidence or used for litigation or for a financial or management audit:

- The program is authorized by BCIT's management and is a routine business process
- The systems and procedures are established, documented, and a log of images produced is maintained
- The index is maintained to permit the immediate location of any document
- The records are of commercial quality and exhibit a high degree of legibility and readability when displayed on proper equipment or reproduced on paper
- A system of quality assurance is in place
- Equipment for reading the records is available.

The Records Management Office will provide advice and assistance with feasibility studies and indexing analysis for the micro-imaging of records.

6. Vital Records Protection

6.1 Objectives

The vital records protection procedures aim to identify those records which are vital and important to BCIT, and to evaluate the potential risks to the records. A school or department must develop and implement records-maintenance practices to protect the designated records from various potential risks. The Directory of Records identifies records that are vital and

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important to BCIT.

Typical hazards include: natural disasters; fire, water, acid or humidity damage; theft; accidental error, misplacement or loss; unauthorized access. These hazards cannot be totally eliminated but can be minimized. Generally, five to ten percent of BCIT's records are considered to be vital and/or important.

6.2 Procedures

For each records series designated by the Directory of Records as vital and important, the cost and risk of losing the records is compared to the cost of safeguarding the records. The criteria for determining whether a records series is vital include one or more of the following conditions. The records series is:

- Irreplaceable; whereby a reproduction does not have the same value as the original (such as a signed contract)
- Needed in order that money can be recovered promptly
- Required to expedite the restoration of a critical service
- Evidence of legal status, ownership, accounts receivable, land title, and/or obligations.

The criterion for identifying a record as an important record is that it can be replaced, but only at considerable time, expense and labour.

A protection method will be selected from these methods:

- Direct copying and dispersal to another location onsite or offsite
- Micro-imaging into film or digital format and dispersal to another location
- Storage in a fire-protected cabinet
- Storage in a fire-protected room built to the standard of two-hour protection
- Duplication at alternative offices, service bureaus, etc.

The protection method which is the most efficient and cost-effective to maintain, considering staff costs and space, will be selected for each vital and important records series.

The Records Management Office will provide advice and assistance with the analysis of protection methods for vital records.

7. Forms Management

7.1 Objectives

A form is any record designed for recording specific data, usually having preprinted headings, captions, lines, boxes, or other devices to guide entry and subsequent interpretations and use of the information. Forms, the most voluminous of all business records, represent a substantial investment in staff time and processing. Forms may be paper-based or electronic. The forms-management procedure seeks to manage the costs and improve efficiency and effectiveness of business processes through applying forms-design techniques and controls.

7.2 Department Role – Records Management and Privacy Office

The Records Management and Privacy office will work with the departments to streamline the business processes where possible and assure that all data elements are valid for collection from

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the legislative perspective. FOIPOP notification will be crafted when required. The Records Management and Privacy Office will also ensure records management needs are met, e.g. Directory of Records classification reference numbers are assigned. The new and revised forms will be assessed for possible elimination or amalgamation with similar forms.

7.3 Department Roles – BCIT Imaging

The Imaging department maintains the forms register with a control number for each form. The department will also maintain binders with the current versions of each form actively being used.

The Imaging department will design forms that adhere to the standards described in this procedure (see below). Imaging will ensure the correct BCIT branding and logo are being used and will assess the new / revised forms for duplication /redundancy.

A repository of the static forms (pdf) in an accessible electronic repository will be provided as a reference tool for BCIT staff.

7.4 Department Procedures for Initiating and Revising Forms

Each department(s) identifies the forms required and appoints a key person to work with Imaging on forms design when a new form is being designed or a form is being re-designed. The key contact then provides a list of individuals to proof forms.

The key contact will discuss automation with Information Technology Services in advance, keeping in mind that other electronic forms require design by BCIT Imaging, and Records Management and Privacy review by the Records Management office.

Upon receipt of a new or revised form, the department will notify BCIT Imaging. Imaging will add the form file and number to the Master Forms list and determine if the form can be amalgamated with another similar form or eliminated altogether.

When a form is needed, Imaging will do a first draft and send the form to the Records Management office for Privacy and Records Management review where needed. The Records Management office will send the form back to Imaging for a second draft and revision. Imaging will forward a copy to the key contact person and to the Records Management office.

The key contact person gathers all department input onto one message, incorporating all the necessary ideas so as to keep the number of drafts to a minimum due to the heavy workload of BCIT Imaging.

The key contact person and the Records Management office will sign off on the final draft, and advise Imaging of the print order, quantities, and paper stock. BCIT Imaging will complete the print order.

If a Department wants to create a form that can be filled electronically, the final form must be reviewed and approved by both the Records Management and Privacy Office and BCIT Imaging prior to publishing on the BCIT web site.

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7.5 Forms Design Standards (Printed Forms)

1. All box captions are upper / lower case characters, in the upper left corner of the boxes, and all form titles are centred, in bold (and no need for the word 'form' in the title).
2. Form titles are simple and concise, e.g. "Request for Official Transcript" becomes "Official Transcript Request".
3. Forms must use the most current BCIT logo and place it in the upper left-hand corner.
4. The name of the issuing department is placed in the upper right-hand corner.
5. Boxes and lines must allow the reader and individuals enough room for filling out the forms.
6. All check-box text should be placed in the left-hand side of the "check box".
7. Form numbers must be printed in the lower left-hand corner with the revision date.
8. When procedures instructions are needed, place these below the logo (upper left-hand side of the form) with "Procedures" or "Instructions" where appropriate.
9. The Directory of Records filing classification number will be supplied by the Records Management office.
10. Determine the number of set copies with the user of the business process / form and eliminate unnecessary lines and boxes from the form that do not add value to clarity.
11. If the form collects personal information, the Records Management and Privacy Office will supply the FOIPOP language.
12. If the form is used to enter data to an electronic information system, ensure that the flow of information matches the data entry screens.

8. Management of Electronic Records Repositories

8.1 Objectives

This procedure will outline the responsibilities for records custodians in the management of electronic repositories according to BCIT Records Management policy. Electronic records and electronic mail messages received and created in the conduct of BCIT's business are considered records, as such, may be accessed in response to FOIPOP, litigation, and managing BCIT operations.

BCIT policy calls for employees to distinguish official records that require retention and storage from transitory documents and non-records. Most electronic documents are transitory, and employees must delete these immediately after their usefulness has expired. Some electronic documents are non-records (such as personal e-mail messages and correspondence not related to BCIT operations).

Once an employee has recognized that an electronic document is required as a record, he or she must submit the e-record / email record to the electronic records library / repository as shown in BCIT's Directory of Records (http://notesmail.bcit.ca/apps/RecMan.nsf?opendatabase&login&RecMan). The records custodian or a delegate will import the electronic record into the designated repository so that it

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can be used by employees on a need-to-know basis.

8.2 Responsibilities

8.2.1 BCIT Department

It is a collaborative process involving the department's manager and staff to determine the situations when an electronic repository is needed for recordkeeping and shared retrieval of electronic documents. The department will designate one person to act in the role of records custodian for the electronic repository. The department will decide who among BCIT employees may access the electronic repository.

8.2.2 Records Custodian

The custodian will contact Information Technology Services (ITS) and request the necessary electronic repository (Lotus Notes document libraries, Quickplace, or a Local Area Network directory). The custodian will ensure that the repository aligns with the retention requirements and records series titles as indicated in the Directory of Records database.

8.2.3 Information Technology Services (ITS)

ITS will maintain a listing of electronic repositories, who the custodian is, and who the authorized staff are that may access the repository. ITS will share the list of electronic libraries with BCIT's Records Management and Privacy Office.

8.2.4 Records Management and Privacy Office

The Records Management and Privacy Office will create a case file on BCIT's Directory of Records database and ensure that a link to the electronic repository is made in the database.

If electronic records are not comprehensively allocated to a designated electronic document library but are instead stored in several locations, this situation produces partial case files in several locations. When staff rely on partial information, this could lead to making decisions based on incomplete information and other risks.

8.2.5 Records Custodians for Electronic Document Libraries

Records custodians have the responsibility to:

- Assist office staff with proper security level to identify and retrieve the active electronic document
- Communicate within the department that a document library is being used for specific classifications of records
- Create appropriate indexing data concerning the document ("meta-data") and enter meta-data for each electronic document
- Arrange to transfer to the archivist the records selected for permanent or long-term preservation
- Advise ITS and the Records Management and Privacy Office when an electronic document library is no longer being used and the request has to be deleted
- At least once each year, delete from active document repositories those electronic

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documents that are no longer required.

8.2.6 Electronic Repositories: Document Categories and Arrangement

The basic options of the file arrangement are chronological, topical, or alphabetical. Index terms may be also assigned. When arranging documents within each library, the custodian and department chooses an arrangement that best serves its retrieval needs.

8.2.7 Advice on Electronic Libraries

The Records Management office will provide active records and filing systems advice to Custodians on topics such as:

- Indexing methods for electronic documents
- Retrieval systems for electronic documents
- Purging electronic documents.

9. Destruction of Paper Records at BCIT

9.1 Objectives

BCIT has paper records destruction procedures in order to ensure:

- That records are retained for the time frames listed in BCIT's retention schedules
- That the necessary approvals are obtained for records destruction
- That records are destroyed in a confidential manner
- Cost effectiveness and timeliness of records destruction.

9.2 Records Categories

The procedure to follow depends on the category of the record(s).

Category 1: Scraps

Category 1 consists of non-confidential papers and non-records.

Examples: Scrap paper, copies of calendars and appointments, meeting requests, published articles and journals, association information, reference material.

– None of this material is registered in the DOR database.

Procedure

No Records Destruction Authorization (RDA) process is required. Place in recycling bin.

Category 2: Records

Category 2 consists of personal working records, departmental records, papers set up in file folders, BCIT business records. These typically include paper-based files from file cabinets and employee workstations.

For this category, the records custodian or non-custodian employee routinely (at least once per year) reviews and removes for confidential destruction files that are due for destruction according to BCIT's Directory of Records retentions schedules.

Procedure

– Records may be in file folders or boxes.

– This category includes DOR-registered and non-registered materials.

Procedure
Records Destruction Authorization is required.

1. Pull records from file cabinets and / or from computer printers and places them in any type of box with a lid.
2. Label the boxes clearly for shredding, and place them in a secure location until pick-up by Logistics.
3. Complete the electronic RDA request. Non-records custodians are able to generate electronic RDA requests only for records that have not been registered in the Directory of Records Database. The authorization process includes obtaining the department manager's approval. For instructions on this step, see "Generating the Request for Records Destruction Authorization" in Section 3.5 of this procedure.
4. After the manager approves the RDA request and forwards it to The Records Management and Privacy office (RMO), the RMO approves the request, and notifies Logistics to pick up the box(es) for confidential destruction.
5. Boxes should be picked up within two to three business days.

Category 3: Ad-hoc documents and printouts

Category 3 includes printouts containing personal or BCIT confidential information, individual loose documents that have never been set up in departmental file folders, BCIT business, and confidential papers (including completed exams after one year).

– These materials are not registered in the Directory of Records database.

– The materials may be in file folders, boxes, or may be loose.

Procedure

Records Destruction Authorization is required.

1. Place the documents or papers due for destruction into any type of box with a lid, and label the box clearly for shredding.
2. Store the box in a secure place until picked up by Logistics.
3. Complete the electronic RDA request. The process includes obtaining the department manager's approval. For instructions on this step, see "Generating the Request for Records Destruction Authorization" in Section 3.5 of this procedure.
4. After the manager approves the RDA request and forwards it to The Records Management and Privacy office (RMO), the RMO approves the request.
5. Boxes should be picked up within two to three business days.

Category 4: Documents of a Highly Confidential Nature

Category 4 includes documents and papers that originate in sensitive departments such as Human Resources, the President's Office, etc. Typically these documents and papers have never been set up in departmental file folders.

Procedure

– These materials are not registered in the Directory of Records database.

Procedure

No Records Destruction Authorization is normally required.

Departments that produce Category 4 materials will typically keep a Lock Box, with a pre-arranged, periodic pick-up time for transport and destruction. In small quantities, these materials may also be shredded in the office shredder.

For the lock box:

1. Pull records from file cabinets, workstations, and / or from computer printers and place them in the lock box.
2. Maintain the lock box in a secure location until pick-up time.
3. The records destruction vendor will securely shred the lock box on a schedule of either once or twice per month.

Forms Associated With This Procedure

A. Records Retrieval Authorization LIB-71
B. Archives Accessing Form LIB-46
C. BCIT Storage Box Label

Amendment History

1. Revision 1 2007 Dec 01
2. Revision 2 2008 Sep 30
3. Revision 3 2011 Dec 15 (revision to chapters 3 and 9)