CAMOSUN COLLEGE

IT SERVICES DIVISION

Records Management

Procedures Manual

Records Management, IT Services
March 2015

IT SERVICES DIVISION

Records Management Procedures

SUMMARY OF THE OBJECTIVES FOR RECORDS MANAGEMENT PROCEDURES

An ambitious college-wide project, initiated in Fall 2009 under the supervision of the Director of IT Services, has expanded and clarified policy and practice regarding indexing, filing, storing, and disposing of college records. The college CIO is responsible for college record management.

Record Management practice is now in place at Camosun so that as a publically funded institution we can meet obligations to manage records in a systematic and consistent manner and ensure that College records are complete and trustworthy, usable over time, and retained and disposed of according to approved retention schedules, (timelines).

To achieve common understanding and practice, an Index of College Records has been drafted by conducting an inventory of the college's paper records and seeking an appraisal of current retention practice in each unit at the college. Retention periods have been defined, practice has been implemented to improve storage of semi-active records and to document the destruction of indexed college records.

The College governing policy for these procedures is here, Policy

WHO SHOULD KNOW ABOUT THESE PROCEDURES?

Camosun's Senior Leadership Team (College Executive, Deans of Schools and Directors of Departments), and other managers are named as Officers with Primary Responsibility (OPRs) for all college records. They have the accountability and responsibility to ensure that records management procedures are implemented within the schools and departments, and to ensure compliance with the records retention schedules.

The divisional office of the CIO, located in the Ewing Building, 3rd Floor, has overall responsibility for the administration of records management systems. The responsibilities of this office include maintaining the Index of College records with an inventory of the college's records and with information management appraisal reports; administering the records disposition processes, and training and advising Camosun staff in records management practice.

CMT Assistants, (Executive Assistants, Assistants to the Deans, Assistants to the Directors, and Operations Assistants), whose positions and job responsibilities make them accountable for managing the units official records are responsible to assure the intellectual and physical control of active and semi-active electronic and paper-based records, to conduct cyclical review of active files for disposition, to prepare semi-active records for storage, and to prepare college records where the retention period has expired for final disposition using destruction authorization forms.

CMT Assistant will find the documents related to RM practice on the ADMNSEC drive (the P drive) in a sub-folder called "RecordsManagementProject". Only senior admin professionals have access to the P drive files and that means that you will be expected to guide employees with inquiries to the correct forms and supporting information procedures.

All Camosun employees are expected to be aware of records management policies and procedures. Employees are responsible for creating records in a professional and objective manner, keeping in mind that our records may be accessed in during a FOI process.

KEY DEFINITIONS

Active records: are records in constant use that need to be retained in the office close to users.

Archival records: are records used to administer, support or document the delivery of College programs, carry out operations, make decisions or account for College activities, and require indefinite preservation.

Document management: is the combination of business processes and computer software used to capture, organize, store, retrieve, manipulate and control the circulation of scanned paper or microfilmed documents and born digital documents.

Office of primary responsibility (OPR): is the business area that creates or receives and files original, official records relating to its particular function or activity within the College. The business area is responsible for defining and following the retention and disposal schedule established for its records.

Official college records: are all records created or received by College employees in the course of their duties on behalf of the College and retained to meet business, legal, financial, legislative and other needs. For the purposes of implementing this policy, the definition of official college records excludes books and other published materials and copyrighted or copyrightable materials. Official college records may be in the form of paper, non-paper-based media such as microfilm, CD-ROM and audio or video tape and electronic media such as e-mail, word processing, spreadsheet and presentation documents, digital images of paper or microfilm stored in a records and document management system, databases and web sites.

Primary record: is the official copy of the record and is generally stored in a secure place in a senior administrative office area.

Records and information management: policies and procedures, technologies, and other administrative controls applied to the records and information that employees use to support their business operations and processes, and that are required to protect legal interests and fulfill legislative obligations. Records and information management functions include activities such as implementing filing systems, establishing retention and disposal schedules, protecting vital records and preserving archival records.

Records and information management appraisal report: the document that the Records Manager produces in consultation with a business area to describe its records and define each record type's appropriate retention and disposal schedule.

Retention and disposal schedules: define specific time periods for keeping records in the office (the active phase), for maintaining records in storage (the semi-active phase), and determining their final disposition (destruction or indefinite archival preservation).
Secondary record: is a copy of the primary record and may be stored by departments for convenience for a period of time that meets their current access needs, but no longer.

Semi-active records: are records no longer used constantly, but are required for reference, legal, audit, or other purposes.   Semi-active records may be transferred to on-site or off-site secured storage to free-up limited and expensive office space.

Trustworthy records: are records that are reliable (they are what they claim to be), complete (created with all the content, contextual information and rules required to carry out their intended business purpose) and authentic (can be trusted as evidence of business transactions and proven not to have been altered in any way).

MANAGEMENT OF ACTIVE PAPER RECORDS

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 Camosun records will continue to exist in paper format

Paper-based documents are filed into uniquely identified case files that are assigned an Index classification number in the Index of College records.

The current Index of College Records is an alpha numeric system based on an analysis of the fundamental business functions of the college. It is not organized by the college's organizational chart. These are the 10 business function categories:

AD	**ADMINISTRATION**
COM	**COMMUNICATIONS AND PUBLIC INFORMATION**
EX	**EXECUTIVE & COLLEGE GOVERNANCE**
FAC	**FACILITIES AND CAMPUS PLANNING**
FI	**FINANCE & PURCHASING**
HR	**HUMAN RESOURCES**
LE	**LEGAL**
SI	**STUDENT INSTRUCTION**
SS	**STUDENT SERVICES**
ITS	**IT SERVICES**

The FUNCTION level of the index is divided into a tier by SUBJECT and SUBJECT is divided into ACTIVITY categories.

EXAMPLE 1: INDEX HIERARCHY EXPLAINED

The FUNCTION HR, (HUMAN RESOURCES) currently has the following 8 SUBJECT areas.

HR-	HUMAN RESOURCES
HR-100	HUMAN RESOURCES RECRUITMENT & SERVICES
HR-200	HUMAN RESOURCES, SYSTEMS, OPERATIONS AND PAYROLL
HR-300	PROFESSIONAL DEVELOPMENT OF EMPLOYEES
HR-400	HUMAN RESOURCES - EMPLOYEE RELATIONS AND LEGAL SERVICES
HR-500	POSITION DEVELOPMENT AND EVALUATION
HR-600	EMPLOYEE RECOGNITION, DISTINCTION & CELEBRATION
HR-700	OCCUPATIONAL HEALTH AND SAFETY
HR-800	EMPLOYEE HEALTH

The SUBJECT called EMPLOYEE HEALTH HR-800 series currently has 8 ACTIVITIES as follows.

HR-800	EMPLOYEE HEALTH
HR-800-001	**Employee Health Records – Active Cases (STD, LTD & Extended Sick Leave)**
HR-800-002	Employee Health Records – Inactive Cases (STD, LTD & Extended Sick Leave)
HR-800-003	Active LTD Cases – Non-Active Employees
HR-800-004	CUPE Sick Bank - Historic Record
HR-800-005	CCFA Sick Bank – Historic Record
HR-800-006	Exempt Sick Bank - Historic Record
HR-800-007	BCGEU Sick Bank – Active Record
HR-800-008	Short -Term Illness

And, under the indexed record type:*HR-800-001 Employee Health Records – Active Cases (STD, LTD & Extended Sick Leave)* the college's Heath Coordinator has individual CASE files by employee name. CASE file names **do not** appear in the Index of records.

EXAMPLE 2: COMMON RECORDS

An example of how all management units now index budget records

Each operational unit of the college has to interact annually with preparation and review of budgets. (Budget plans and reports are **_Common Records_**.

Common records are records that provide evidence of administration of functions or activities that are not unique to one particular management unit. Some examples include committee meetings, or the development and administration of a unit's annual budget. Common records often share a similar style or format, but the content is different

Ultimately the Director of Finance and the Manager of Financial Operations hold Office of Primary Responsibility (OPR) for custody of the complete and trustworthy record of the college's approved budget, the college audit, and the records of revenue and expenses, purchase orders, etc. and the college record index has identified these as Finance records, but still, we all have budget plans for management units. Anywhere a person goes to in the college, looking for budget files, they should be able to find them by looking for **AD-140-001** files.

AD-140-001 Budget Plans and Reports, Management Units

This alpha numeric index number and name appears in Camosun's record index:

AD refers to the Administrative function and is the first tier of file sorting

AD 140- Unit Management, is the second tier of sorting, and refers to Unit Management in general. , and includes many common records like budget plans, hr working copies of employee files, strategic planning,

AD 140-001 is the third tier of sorting called Activity, and here it refers to Budget plans and reports at the unit level of administration

The fourth tier in sorting records is the **CASE NAME**. This name does **NOT** go into the college index as each unit has different case names for their files.

Within the School of Access, for example, the file folders on our budget files look like this.

AD 140-001, 2009 First Quarter Review, School of Access
AD 140-001, 2009 Second Quarter Review, School of Access
AD 140-001, 2010-11, Rationale Statements, Foundations' department
AD 140-001, 2009 Capital requests by departments
AD 140-001, 2009 School of Access FTE targets

As you see, the index number for all these files is the SAME; the case names (in red) do not go in the Index.

ADDING, CHANGING, AND DELETING RECORDS TYPES

The Index is maintained and populated by information provided by CMT Assistants, whose positions make them accountable to keep abreast of new initiatives at the college and who will anticipate the need for new record types to be added to the index. Working with the Assistant to the Director for IT Services (Jo-Anne Hemphill, incumbent), new records are added to the Index following these steps:

1. Use the template to prepare a draft appraisal of the record, providing the following pieces of information.
    i) Define the purpose of the record in a few sentences;
    ii) Describe the typical content of the record type (documents, reports, memos, etc.);
    iii) Describe the filing arrangements (alphabetical; chronological, etc);
    iv) Decide on a retention schedule for the record (how long it is kept for). This is done in consultation with the Officer with Primary Responsibility (OPR) who will be familiar with any legal or legislated reasons for retaining the record for specific lengths of time; and
    v) Declare the final disposition for the record. Most records can be destroyed when their retention schedule expires. Some college records, deemed Vital to the institution, are held in perpetuity, never to be destroyed.

When the Appraisal is drafted, the Assistant to the CIO will review the appraisal and assign an appropriate Index number based on the Function, Subject and Activity defined in the Appraisal.

CMT Assistants are aware when a record type can be removed from the index. There is the form to use to change the retention schedule of an existing indexed record, to request a new Index classification, or to request that an current record type be removed from the Index. This form is on the ADMSEC drive. Contact you CMT assistant for a copy of this form.

MANAGEMENT OF SEMI-ACTIVE PAPER RECORDS

Some departments annually box and send college records into semi active storage, a stop along the way to final destruction. The college policy related to Record Management has been newly revised (approved Nov 2009) and a higher degree of attention is now focused on cataloguing records in storage and ensuring that Camosun keep track of what College records have been destroyed.

The following guidelines help ensure a consistent, college-wide practice for records in semi active storage.

1. Prepare an inventory of the content of each box going into storage. Please complete *an individual sheet for each box* that describes very briefly the content of the box. The form is available to complete electronically or to print and complete manually. Note: the content of a single box must contain paper that has the same FINAL DESTRUCTION date.

2. The department Officer with Primary Responsibility (OPR, normally this will be the SMT manager or his/her designate) needs to sign each inventory sheet. (Multiple boxes of the same indexed record type can be sent to semi-active storage under cover of a single signed Inventory Sheet, a copy of which should be placed inside box 1 of xx number for that record type. For Example, Financial services may have 15 boxes of accounts payable records inventoried on a single sign-off sheet). The original Box Inventory is handed-over to the Receiver when the boxes are picked up or dropped off; a copy of the Box Inventory is put into the storage box and a copy is sent to the RM office for filing.

3. Fill in the Side of the Box information. The college is asking you to use standardized storage boxes when you move records to storage. The boxes come with fields printed on the ends of the box that you will need to fill in with a bold, permanent, preferably BLACK marker. The fields that you need to complete are:
   a. College Record Index number. Contact the RM desk if you need help with finding an index number
   b. Semi Active storage date
   c. Destroy Date

4. When your boxes are ready to be moved to semi Active storage, contact Receiving and make your own arrangements.

5. **Retrieving a box from semi active storage**. If you need to look at some paperwork in a box that is already in semi active storage, or borrow a box for a few days, please make your own arrangements. If you want to remove an entire box from storage, please let rmproject@camosun.bc.ca know to remove the box from the college inventory of boxes held in semi active storage.

FINAL DISPOSITION FOR PAPER RECORDS

For most Camosun records, retention schedules are between 1 and 7 years and the final disposition is to Destroy the paper records following guidelines and using forms described below. Additionally there are many records with retention periods of up to 20 years and in these cases unit area files the records in close proximity to the unit.

For all vital records, the final disposition of the record is to permanently filing the paper in the immediate unit area or in semi active filing adjacent to the physical location of the unit area. Camosun College does not currently have a location or personnel to archive paper records.

To send a college record to its final disposition use the

Unit Managers (SMT members or their designated associate managers) responsible for the custody of college records have now established retention schedules for each college record type. When the retention schedule says that the final disposition is DESTROY, the college wants to keep track of what records we are destroying.

A. For boxes of College records that have been in Semi Active storage awaiting an expiry date and final destruction:
   1. Receiving will be notified by the record owner that records in semi active storage have expired and are ready for destruction.
   2. The record owner will complete and sign the Records Destruction Authorization form and meet with the Receiver to ensure that correct boxes are accurately identified and are correctly listed on the destruction form.
   3. The Receiver is the final authority for boxes going to final destruction.
   4. The Receiver will ensure that the material handler hired by the college to remove records for destruction also signs the Authorization to Destroy forms and will return the signed form to the RM coordinator.

B. For College records that move from Active use within a department unit directly into final destruction:
   1. Receiving will be notified by the record owner that records in department areas have expired and are ready for destruction.
   2. The record owner will complete and sign the Records Destruction Authorization form.
   3. The Receiver is the final authority for boxes going to final destruction.
   4. The Receiver will ensure that the material handler hired by the college to remove records for destruction also signs the Authorization to Destroy forms and will return the signed form to the RM coordinator.

C. Faculty Instructional Records, Final Exams/Final Projects
   The cyclical, semester purging of Final Exams / Final Projects *older than one year*, is a responsibility of all instructional faculty. School administrative

offices should develop and implement a practice that will ensure compliance with college policy related to these important college records. Process should include a reminder to faculty (three times each year for semester based instruction and 4 times per year for quarterly programming) that the previous year's semester final exams / final student projects are expired and must be destroyed.

Costs associated with the final destruction of college records moved from semi active storage or from department active use directly to final destruction ***and that are processed using the Records Destruction Authorization*** form will be charged to the budget of the Record Management department. This cost will be managed by the RM coordinator and the college Receiver.

INSTRUCTIONAL RECORDS: A SPECIAL CASE

A Reminder to Instructors about Your Role in Custody of the Instructional Record

The Instructional Record, Index # SI-100-005

The record of how you arrive at your decision to grade-out a student from a course (post the student's final grade in Colleague) after the instructional weeks are completed may include a final exam, a final project, a class list or grade sheet for tracking student achievement on assignments graded during a course. It may also include daily lecture notes, answer keys, samples of what you expected for answers to assignments, notes on student attendance, etc. This type of paperwork is considered a **college record**, collectively referred to as the ***Instructional Record***.

The Instructional Record should be kept in the custody of the instructor, in the faculty office, on campus.

A description and explanation of faculty responsibility related to Instructional Records is excerpted from *Section E Instructional Records*, of the Freedom of Information/Protection of Privacy Policy.

What Faculty must keep for one year:
- All completed final examination papers, evaluations, and projects used for final examination. Please note that students may view their graded final exams by request to the instructor but they must not copy or retain the exam. The exam is a college record and remains in the custody of the instructor for one full year after the grade-out date, for each student, in each section of each course taught by the instructor. The Instruction Record is then turned over to your dean for final destruction.
- All graded interim assignments that are not picked up by students must also be retained by the instructor for one year.

- Other components of the Instructional Record includes the course outline, daily lecture notes, answer keys, samples of what you expected for answers to assignments, notes on student attendance, class lists, and the commonly-used booklet from the Print Shop called "Register of Students and Class Records".

Term instructors are required to turn over custody of all components of the Instructional Records to the department chair if their term of employment expires before one full year from the date of grading out.

Final Disposal of the Instructional Record:

After one year from grading out, each faculty member is required to purge the Instructional Record for each section taught. Chairs must take on this responsibility for term instructors if they are no longer at the college. The formal procedure for the final destruction of any college record is now clearly defined. Procedures **related to disposal of the Instructional Record vary in each School.** Best practice includes a timely reminder each semester to faculty and a central school location to gather Instructional Records that have expired where compliance with the approved retention schedule for the Instructional Record can be tracked. Procedures for boxing up and using the formal procedure for sending college records to final disposal ensure that the School and the Record Management Coordinator can document that the Instructional Records were in fact disposed of according to the retention schedule.

A Special Note about Course Outlines

Instructors are required to provide individually dated course outlines for each section of each course taught each semester or term. Course Outlines are defined as the instructor's "contract" with the students. (References include Education Approval Standards, http://intranet/ed_prov/Glossary.php; FOI/POP policy linked above, and the Indexed Appraisal of college record SI-100-002, Course Outlines). Deans/Directors are required to retain all course outlines, for every section taught, for each instructor for **five years**. Each school manages this process slightly differently, but there *must be evidence that the course outline filed in the Dean's office is the outline used by the individual instructor*, as well as evidence that it has been given to each student in each specific section of all courses taught by that instructor. There are possible legal consequences if the dean is unable to produce the course outline for any section of a course taught over the previous 5 years by a instructor, term or continuing. Conversely, the dean is protected by the policy because there is no requirement to produce a course outline for time periods that are later than 5 years. *Please note that the grading scheme used for the course is required on the course outline.*

A caution about leaving graded student assignments outside your office door.

There is a security risk if a faculty member leaves graded assignments/project outside an office door for students to pick up. The practice is not recommended and, as quoted above in the FOI POP policy, interim papers/assignments/projects that are not returned to students have to be kept by the instructor for one year. Student's quoting the FOI POP policy would expect that the instructor did maintain custody of these assignments as part of the Instructional Record for one year.

ACCESS CONSOLES AND INDEXED COLLEGE RECORDS

Access **Consoles** should be used for final disposal of Indexed College Records* **only** if approval to destroy them has been signed off by the OPR (Officer with Primary Responsibility).

HOWEVER…… using *Recall is a secure* way to ensure your paper is disposed of confidentially if it is not a college Record and if it:
- contains personal information that may identify the address, phone number, or daily classroom location of a student;
- reveals information about employee health issues, employment benefits, salary, or comments about employee performance;
- gives information about security access, door keys, etc
- contains testing material that you hold confidentially

Your Division, School, or Department bears the cost of disposal of paper in the Recall consoles ($15 per console, charged every 12 weeks) so, read below about how to use blue boxes.

Use BLUE BOXES for:
- Any copy-written or published material;
- Any stale-dated marketing material such as Information sheets, advising sheets, brochures, flyers, etc.
- Any meeting agenda material that has been overproduced;
- Any stale-dated or over produced instructional material, class handouts, etc.

* Indexed College Records have an approved retention period and are included in the College Index of Records

FORMS:

APPRAISAL TEMPLATE

CAMOSUN COLLEGE	**Records Management Appraisal Report**	
Unit: Your department/school name here		
Appraisal Writer:	**Signature:**	**Date Prepared:**
Appraisal Objective: This appraisal report represents an original appraisal and retention schedule.		

XX-XXX-XXX Function, Subject and Activity numbers will be added here: Don't fill in the index number. That will be done in consultation with the IT Services Administrative Office.

Purpose:
Use this space to define the record type and why your manager maintains this record for the college.

Records Description:
This space describes the type of paper that may be contained in this record; e.g. memos, reports, analysis, correspondence

Filing Arrangement:
Case files are arranged typically either chronologically or alphabetically

Retention Schedule:

XX XXX-xxx	On-line (Active)	Semi Active Storage	Final Disposition
		Nil	

Retention Rationale
Use this space to describe if there are any legislated or legal requirements for the retention period you suggest.

RECORDS DESTRUCTION AUTHORIZATION FORM

Originating Department/School	Officer with Primary Responsibility	Local	Date

1. Review the RM procedure related to final destruction of college records,
2. Complete this form and have it signed by the appropriate manager, Section C.
3. Contact the Receiver and conduct a visual inspection of the boxes to ensure the correct ones are identified for destruction.
4. Receiver: Authorize destruction in part C
5. Materials Handling: Certify destruction in Part D
6. Forward completed and signed form to the RM coordinator, IT Services

A	Records Description					
Records Classification Code and Title (attach list)		Date of Records	Box No.	Originals Yes or No	Location of Pick Up	Scheduled* Destruction Date
Total No. Boxes						

B	Authorization to Destroy	
Dean , Director, Manager, or designate (name and signature)		Date
Receiver (name and signature): use only if records are boxed for off campus shredding		Date

Destruction Methods:
- ☐ **Boxed for Receiver to pick up send with Off-Campus Shredding**
- ☐ **Taken to Printshop and Shredded by staff**
- ☐ **Disposed of in *an Access Console***

C	Certificate of Destruction		
Materials Handling (name and signature): use **only if records are boxed for off-campus shredding**	☐		Date

APPENDIX A: RECORD MANAGEMENT POLICY O-6.2

Policy	**O.6.2** **Record Management**
Approved By:	SMT
Approval Date:	Feb 26, 2003
Amendment Date:	November 25, 2009
Policy Holder:	VP Administration/CFO

Purpose / Rationale

The purpose of this policy is to establish commonly understood and efficient practice for the retention and disposition of College records that ensures Camosun meets its legislative, financial and legal obligations as a public body to manage its records in a systematic and consistent manner.

This policy defines the standards for ensuring that all College records are trustworthy, usable over time, retained and disposed of according to approved timetables and managed as a consistent whole when they relate to the same subject or are part of the same business process.

This policy establishes procedures required to ensure that College records are processed and maintained according to record management principles and best practices that enhance their admissibility as evidence in legal proceedings and their reliability to support business decisions.

Scope / Limits

This policy applies to all records created by and/or maintain by the College.

This policy is governed by the Freedom of Information and Protection of Privacy Act and other laws of general application. It does not apply to published or copyrightable materials as defined in collective agreements. Also, the policy does not apply to published or copyrightable materials produced in support of College business functions by non-teaching employees.

Principles

1. Each employee is responsible for managing college records in a responsible and professional manner.

2. The Director of IT Services is the final authority for approval of all retention and disposition schedules.

3. Unit managers with Office of Primary Responsibility for college records that are a function of his/her business unit will define the content of records for which he or she holds primary responsibility.

4. All college records have a reasonable retention period based on the legal or logical requirement for retention.

5. All college records will be trustworthy, usable over time, retained and disposed of according to approved timetables, and managed as a consistent whole, regardless of location when they relate to the same subject or are part of the same business process.

6. The College, through its records management process, will ensure that employees have the training, resources, and materials they need to create and maintain records, in all media, that are trustworthy, usable, retained and disposed of according to approved schedules, and are managed as a consistent whole.

7. All retention and disposal schedules that cite provincial or federal legislation as part of their retention rationale will be submitted for legal review to ensure that the schedules meet legislative requirements.

A.   Definitions

1. Active records: are records in constant use that need to be retained in the office close to users.

2. Archival records: are records used to administer, support or document the delivery of College programs, carry out operations, make decisions or account for College activities, and require indefinite preservation.

3. Common Records: are records that provide evidence of administration of functions or activities that are not unique to one particular management unit. Common records often share a similar style or format, but the content is different. In some cases, common records are copies of original records for which another unit manager holds the office of primary responsibility.

4. Document management: is the combination of business processes and computer software used to capture, organize, store, retrieve, manipulate and control the circulation of scanned paper or microfilmed documents and born digital documents.

5. Office of primary responsibility: is the business area that creates or receives and files original, official records relating to its particular function or activity within the College. The unit manager of a business area is responsible for defining and following the retention and disposal schedule established for its records.

6. Official college records: are all records created or received by College employees in the course of their duties on behalf of the College and retained to meet business, legal, financial, legislative and other needs. For the purposes of implementing this policy, the definition of official college records excludes books and other published materials and copyrighted or copyrightable materials. Official college records may be in the form of paper, non-paper-based media such as microfilm, CD-ROM and audio or video tape and electronic media such as e-mail, word processing, spreadsheet and presentation documents, digital images of paper or microfilm stored in a records and document management system, databases and web sites.

7. Personal information: means recorded information about an identifiable individual. Personal information includes: home address, home telephone number, race, nationality, origin, colour, political or religious beliefs, age, sex, sexual orientation, marital or family status, and any identifying number or symbol assigned to an individual. It also includes an individual's personal history regarding finances, education, health, criminal records and employment. Personal information also includes images about individuals.

8. Personal information bank: is a collection of personal information that is organized or retrievable by the name of an individual or by an identifying number, symbol or other particular assigned to an individual.

9. Primary record: is the official copy of the record and is generally stored in a secure place in a senior administrative office area.

10. Records and information management: policies and procedures, technologies, and other administrative controls applied to the records and information that employees use to support their business operations and processes, and that are required to protect legal interests and fulfil legislative obligations. Records and information management functions include activities such as implementing filing systems, establishing retention and disposal schedules, protecting vital records and preserving archival records.

11. Records and information management appraisal report: the document that the Records Manager produces in consultation with a unit business area to describe its records and define each record type's appropriate retention and disposal schedule.

12. Retention and disposal schedules: define specific time periods for keeping records in the office (the active phase), for maintaining records in storage (the semi-active phase), and determining their final disposition (destruction or indefinite archival preservation).

13. Secondary record: is a copy of the primary record and may be stored by departments for convenience for a period of time that meets their current access needs, but no longer.

14. Semi-active records: are records no longer used constantly, but are required for reference, legal, audit or other purposes.   Semi-active records may be transferred to on- or off-site secured storage to free-up limited and expensive office space.

15. Source records: are records in paper form or on microfilm that contain information or data entered into a records and document management system.

16. Trustworthy records: are records that are reliable (they are what they claim to be), complete (created with all the content, contextual information and rules required to carry out their intended business purpose) and authentic (can be trusted as evidence of business transactions and proven not to have been altered in any way).

17. Usable records: are records that can be retrieved, accessed, deciphered and comprehended for as long as their creators and other business areas, such as audit or legal departments, require them.

18. Vital records: are records considered essential to the College's continuing or resuming its operations in the event of a disaster. A record is vital when it would be required to resume or

continue College business, supports the College's legal or financial position or is made vital by regulation or statute.

Record Management Practice

Employees will file or otherwise organize their college records in a manner that allows access and retrieval of records quickly and easily, when required. Employees will reference the college's indexed record classification directory and the Records and Information Management Appraisal Reports when filing.

1. Employees will protect the privacy of individuals by ensuring that records containing personal information are stored in a secure environment while in the office, are protected from harm if designated as vital records, and are confidentially destroyed by shredding or incineration according to approved retention and disposal schedules.

2. Unit supervisors will work to ensure compliance with privacy guidelines for the collection, storage and disposal of personal information records.

3. Employees will follow the approved retention and disposal schedules established for their department's original, official college records, and will notify their unit supervisor of any changes to their business processes that would require updating their department's Records and Information Management Appraisal Report. When the head of the business area approves the appraisal report, he/she agrees to manage the area's records according to the retention schedules.

4. Employees may retain duplicate or reference copies, i.e., secondary records, created and maintained by other departments for as long as needed for reference purposes, but no longer than the retention and disposal schedule established for the original, official record.

5. Departments that create or maintain *vital* records will establish and follow procedures to ensure that such records are protected in the event of a disaster.

6. Employees who leave the College or change positions will leave all official college records for their successors, subject to approved retention and disposal schedules.

Authority

The Director of Information Technology Services has the authority and responsibility to ensure that the record management program is implemented, and to monitor employee compliance with this policy. The Director will periodically edit the index, a dynamic document, to ensure it is current and will maintain appropriate on-going training practice.

Related acts and regulations

B.C. Employment Standards Act
B.C. Financial Information Act
B.C. Freedom of Information and Protection of Privacy Act
B.C. Limitation Act
B.C. Personal Information Protection Act
Canada Employment Insurance Act
Canada Income Tax Act
Canada Pension Plan Act
Canada Personal Information Protection and Electronic Documents Act

Relationships with collective agreements

Canadian Union of Public Employees, Local 2081
Camosun Faculty Association Collective Agreement
BCGEU Local 701

APPENDIX B: EXCERPT FROM FOI POP POLICY

E.   INSTRUCTIONAL RECORDS

1. Preamble The instructional dean has overall responsibility for management of instructional records. To facilitate administration of instructional records, faculty and staff of the college will create, retain or dispose of instructional records as specified in the administrative guidelines below.

2. Administrative Guidelines

a) Definition The instructional record is the academic progress of a student in the elements of a course, with relevant personal information of an academic nature, that together comprise the instructor's assessment of a student's achievement while enrolled in a Camosun course.

b) Creation The instructor creates instructional records. The records stem from materials used in the course which include, but are not limited to, the standard course outline of content, the schedule for each class session and the instructor's lecture notes.

c) Access College employees while in performance of their assigned duties will have access to instructional records. Instructors will be provided with or have access to information contained in the academic, demographic and/or assessment portions of the official student record of their students. (For a description of what is contained in the official student record, see the policy on Freedom of Information and Protection of Privacy - Student Records.) Instructors will make available to students the evaluation scheme for a course and their progress in it.

d) Security Instructional records and completed final exams are stored with the instructor. The coordinator will take custody if the instructor leaves the college at the conclusion of the course. After it is marked, a final exam is the property of the college but is made available to the student for viewing.

e) Retention Instructional records of all students' marks must be kept one year after the conclusion of a course. In addition, completed final exams must be kept one year and all assignments and tests not returned to the student must also be retained one year.

f) Disposition Instructors will forward final grades to department of data management upon completion of a course. After one year destroyed exams and course materials are not returned to students. Course outlines are archived by the school office.

APPENDIX C: Function & Subject Headings from the College Index of Records

The Function and Subject Headings below give a general indication of the variety of record subjects. Please note that the complete Index of college records also includes about 300 Activity headings.

FUNCTION		SUBJECT	
AD-	ADMINISTRATION		
		AD-010	GUIDELINES AND PROCEDURES
		AD-100	ADMINISTRATIVE REPORTING AND STATISTICAL ANALYSIS
		AD-110	CORRESPONDENCE
		AD-120	COMMITTEES
		AD-130	CONFERENCES, SEMINARS AND SYMPOSIA
		AD-140	UNIT MANAGEMENT
		AD-165	EQUIPMENT MAINTENANCE AND REPAIR
		AD-200	INSTITUTIONAL RESEARCH
		AD-320	MEETINGS AND PRESENTATIONS
		AD-340	PROJECT MANAGEMENT
		AD-500	LIAISON
CM	COMMUNICATIONS AND MARKETING		
		CM-200	MARKETING
		CM-300	PUBLICATIONS
		CM-400	PHOTOGRAPHY
		CM-500	COLLEGE WEB SITE
EX	EXECUTIVE GOVERNANCE		
		EX-001	COLLEGE POLICIES AND PROCEDURES
		EX-010	PRESIDENT AND EXECUTIVE LIAISON

FUNCTION		SUBJECT	
		EX-020	PRESIDENT'S OFFICE CORRESPONDENCE
		EX-100	PRESIDENT AND EXECUTIVE PLANNING AND IMPLEMENTATION
		EX-105	PRESIDENT'S FUNDS
		EX-125	COLLEGE STRATEGIC PLAN
		EX-130	EDUCATION PLAN
		EX-140	IT PLAN
		EX-150	RISK MANAGEMENT
		EX-160	QUALITY AND PERFORMANCE MANAGEMENT
		EX-170	CAMOSUN AFFILIATES
		EX-200	BOARD GOVERNANCE POLICIES, BYLAWS AND RESOLUTIONS
		EX-210	Board of Governors Meeting Minutes, Agenda and Reports
		EX-220	BOARD OF GOVERNORS - BOARD MEMBERSHIP
		EX-230	BOARD OF GOVERNORS - CORRESPONDENCE
		EX-240	APPEALS TO THE BOARD
		EX-250	EDUCATION COUNCIL
		EX-260	EDUCATIONAL APPROVALS
		EX-270	COLLEGE FOUNDATION
FAC	FACILITIES MANAGEMENT & CAMPUS PLANNING		
		FAC-100	CAMPUS PLAN
		FAC-110	FACILITIES MAINTENANCE
		FAC-200	FACILITIES DESIGN AND CONSTRUCTION
		FAC-300	Ancillary Services - Parking and Transportation

FUNCTION		SUBJECT	
		FAC-400	**Ancillary Services - Student Housing Development**
		FAC-500	**Ancillary Services - Facility Management**
		FAC-600	**Ancillary Services - Food Services & Catering**
		FAC-700	**College Safety**
		FAC-710	**SECURITY – INCIDENT REPORTING**
		FAC-720	**SECURITY – PROPERTY ACCESS CONTROL**
		FAC-730	**SECURITY AND SAFETY - MONITORING**
		FAC-800	**EMERGENCY PREPAREDNESS**
FI	**FINANCE & PURCHASING**		
		FI-100	**ACCOUNTING**
		FI-110	**GENERAL LEDGER CONTROL**
		FI-120	**CHEQUE AND BANK CONTROL**
		FI-200	**COLLEGE INSURANCE - CLAIMS**
		FI-210	**EXTERNAL AUDIT**
		FI-220	**PLANNING AND BUDGETING**
		FI-240	**FUNDING BY THE COLLEGE**
		FI-250	**FINANCIAL INFORMATION REPORTING**
		FI-300	**PURCHASING & RECEIVING**
		FI-400	**BOOKSTORE**
HR-	**HUMAN RESOURCES**		
		HR-100	**Human Resources Recruitment & Services**
		HR-200	**Human Resources, Systems,Operations and Payroll**

FUNCTION		SUBJECT	
		HR-205	PROFESSIONAL DEVELOPMENT of Employees
		HR-400	HUMAN RESOURCES - EMPLOYEE RELATIONS AND LEGAL SERVICES
		HR-500	POSITION DEVELOPMENT AND EVALUATION
		HR-600	EMPLOYEE RECOGNITION, DISTINCTION & CELEBRATION
		HR-700	OCCUPATIONAL HEALTH AND SAFETY
		HR-800	EMPLOYEE HEALTH
ITS-	IT SERVICES		
		ITS-1100	Telecommunications
		ITS-1200	Imaging Services
		ITS-1300	Records Management
		ITS-200	Information Systems Applications
		ITS-300-	Colleague System Management
		ITS-400	Hardware
		ITS-500	Information Systems Inventory
		ITS-600	License Management
		ITS-700	Network Management
		ITS-800	IT Project Management
LE-	LEGAL		
		LE-100	CONTRACT ADMINISTRATION
		LE-110	CONTRACT ADMINISTRATION - EXTERNAL ORGANIZATIONS
		LE-125	LEASES AND RENTALS - EQUIPMENT
		LE-130	COPYRIGHT CLEARANCE
		LE-200	FREEDOM OF INFORMATION & PROTECTION OF PRIVACY
		LE-300	HUMAN RIGHTS ADMINISTRATION

FUNCTION		SUBJECT	
		LE-400	**LEGAL OPINIONS**
SI-	**STUDENT INSTRUCTION**		
		SI-100	**PROGRAM, COURSE AND EXAMINATION ADMINISTRATION**
		SI-150	**CO-OP & WORKPLACE LEARNING**
		SI-160	**CONTRACT TRAINING**
		SI-170	**CONTINUING EDUCATION**
		SI-200	**PROGRAM ADVISORY COMMITTEES**
		SI-250	**PROGRAM REVIEW**
		SI-300	**PROGRAM ACCREDITATION**
		SI-350	**PROGRAM & SERVICE CERTIFICATION**
		SI-400	**Industry Training Authority**
		SI-500	**South Island Partnership**
		SI-550	**SIP Student Services**
		SI-600	**Educational Support and Development**
		SI-600-001	**Annual Benchmark Data and Scoring**
		SI-700	**Distributed Education**
		SI-800	**Teaching & Learning**
SS-	**STUDENT SERVICES**		
		SS-103	**STUDENT EVALUATION AND SELECTION**
		SS-105	**STUDENT EXAMINATION**
		SS-107	**STUDENT MISCONDUCT**
		SS-125	**STUDENT COMPLAINTS**
		SS-210	**STUDENT COUNSELLING SERVICES**
		SS-220	**STUDENT DISABILITY SERVICES**
		SS-230	**CHARGERS ATHLETICS**

FUNCTION		SUBJECT	
		SS-233	RECREATION SERVICES
		SS-235	STUDENT AWARDS
		SS-237	ALUMNI RELATIONS
		SS-240	FINANCIAL AID
		SS-360	CHILD CARE SERVICES ADMINISTRATION
		SS-370	Aboriginal Education Services
		SS-400	LIBRARY ADMINISTRATION - CIRCULATION
		SS-405	LIBRARY ADMINISTRATION
		SS-410	LIBRARY CONTRACT SERVICES - CILS
		SS-440	U-PASS PROGRAM ADMINISTRATION
		SS-500	CRIMINAL RECORDS CHECKING FOR HEALTH PROGRAM STUDENTS
		SS-600	PRACTICUM PLACEMENT FOR HEALTH PROGRAM STUDENTS
		SS-625	THE DENTAL CLINIC
		SS-650	STUDENT HEALTH SERVICES
		SS-700	INTERNATIONAL EDUCATION - STUDENTS
		SS-710	INTERNATIONAL EDUCATION - STUDENT PROGRAMS
		SS-720	HOMESTAY PROGRAM ADMINISTRATION
		XXX	REQUESTS FOR RECORDS