

 <b>FACULTY OF MEDICINE</b> <b>Dean's Office</b>	<b>Title:</b> Records Management Guidelines	<b>Status:</b> Final
	<b>Policy #:</b> [tbd]	<b>Date:</b> 15 May 2012
	<b>Responsible Authority:</b> Office Manager	<b>Last revision:</b> Apr 21, 2017
<b>Purpose:</b>	To establish guidelines for the management, storage, archiving, and destruction of Dean's Office files and records – both physical and electronic.	
<b>Usage:</b>	Applies to all Dean's Office units.	

## Introduction & Principles

A “record” means recorded information, regardless of medium or characteristics, which the University creates, receives, or maintains in connection with the conduct of the University’s affairs.

The lifecycle of a record is about diminished value to the organization over time. At some point:

- If the information has no further value, then it is destroyed or archived.
- If the information has some continued value (e.g. historical significance), then it is preserved.

“Records Management” is the discipline in controlling and governing records considered important or valuable to an organization. Across UBC, all records management activity is governed by [Policy 117](#) and supported by the [Records Management Office](#). The two key points are:

“All Records must be retained for as long as they are required to meet legal, administrative, operational, and other requirements of the University. The University Archives, in consultation with the Office of the University Counsel and affected University Departments, will issue Records Retention Schedules that prescribe the periods for which Records must be retained.”

“It is the responsibility of the individual units to ensure that the appropriate security measures are observed for maintaining Records containing personal or other confidential information. Records destruction should ensure that all personal or confidential information is destroyed in a permanent and secure manner.”

From this, the University has adopted a “risk-based approach,” implementing reasonable controls over records depending on the probability and impact of a security breach. UBC produces and handles an extremely large volume of both paper and electronic documents – it is not possible (nor required) to protect each document to the same extent. An Information Classification Scheme (i.e. “Confidential”, “Sensitive”, or “Public”) exists to determine the sensitivity of a given file. Safeguards and other protection measures are based on this. The full description of the scheme is contained in the CIO Office’s [“Information Security Standard.”](#)

While the details above refer to electronic records, the principles also apply to physical records as well. (and vice versa)

The Freedom of Information and Protection of Privacy Act (FIPPA/FOIPOP) applies to all UBC faculty and staff, and has two purposes:

- Freedom of Information: to make public bodies more open and accountable by providing the public with a legislated right of access to government records,
- Protection of Privacy: to protect personal privacy by prohibiting the unauthorized collection, use or disclosure of personal information by public bodies.

Most requests received are routine requests for information that is not sensitive or confidential. Faculty and staff should make every reasonable effort to respond to routine requests following their units' established procedures or protocols set up with the Office of the University Counsel. (OUC)

Requests for records that may contain sensitive or confidential information are called freedom of information requests. These requests are processed by the OUC in accordance with the procedures set out in FIPPA.

Records with confidential/sensitive information must always be handled with due care. Unauthorized collection, use, disclosure or disposal of personal information is a serious matter and must be reported immediately to the OUC for investigation.

Discretion should always be exercised when considering exceptions to established guidelines.

The majority of records produced are categorized into one of the following classes/types:

- Administrative
- Financial
- Human Resources
- Student

Departments & Units should have conventions for:

- Identifying records : general, archival/vital, ephemeral
- Classifying records : confidential, sensitive, public  
(based on risk & impact to organization if a security breach occurs)
- Evaluating records : determining the value of the information

The general guidelines are quite subjective; as well, each unit will have their own priorities for creating and keeping records. While not all records need to be retained, it is important for all depts/units to know and understand what records they are responsible for. All records should follow the established [retention schedule](#) appropriate for the type & sub-type. If you are unsure or require assistance, contact the creator of the record or the office administrator.

# APPENDIX

## Reviewing Records

When making decisions about whether to retain or destroy a record, there are a number of factors to consider that together, provide a greater picture about that record:

- **Who** created the record? Who is the owner? Who may need it in the future?
- **What** is the nature of the record? What is it about? What is its form?
- **When** was the record created? When might it be used again?
- **Where** did the record originate? Is it a copy sent from another source?
- **Why** would this record be retained? Is there some value to keeping it?

## Sorting Records

The following general guidelines apply to both electronic and physical records and indicate the types of records that are *not required* to be kept, according to our Records Retention Schedule:

- Secondary copies of documents that your unit does not have custody over (e.g., copies of records from units like HR, Finance, or an external agency (e.g., a health authority)).
- Materials, usually printed documents created for a specific, limited purpose and generally designed to be discarded after use (e.g., advertisements, general announcements);
- Superseded published documents (e.g., calendars, brochures, advertising, etc. of a routine nature; inventory lists);
- Duplicates;
- Non work-related spam and correspondence (including personal email);
- Informational emails once superseded (e.g., general information related to events, workplace health, parking);
- Draft documents – unless there is a need to show progression (e.g., policy development). However, under FIPPA legislation, drafts cannot be withheld and may be required to supply/produce – this means that if a FIPPA request is made all documents pertaining to the request must be submitted;
- Working papers (the supporting materials related to the production of a document) once the document is complete (e.g., project planning, notes, research info);
- Reference materials relating to routine documents once the final document is complete (e.g., include articles, bookmarks, images);
- Photocopies/ fax copies where the original is filed elsewhere;

Remember that records should not be simply discarded or abandoned. Please [dispose correctly](#).

## Retaining Records

Most records for long-term retention go through three periods over their lifecycle based on need to access:

- Current / Active: record is of high value, or has a deemed need to be referred to. Record must be readily accessible.
- Semi-Active: record has continued value but does not need to be referred to with any regularity or consistency.
- Final Disposition : at the expiration of the semi-active period, record will take one of four actions:
  - Permanent Retention: preserving a record considered vital or historically significant to the organization.
    - Faculty Archives: records to be kept within Faculty of Medicine offices.
    - University Archives: records with continued administrative, legal, evidentiary, informational, or historical value to the university will be sent to University Archives for preservation.
  - Superseded / Obsolete: record is generally kept within Faculty offices.
  - Selective Retention: records to be reviewed at end of retention period to assess value to organization at that time.
  - Destruction: if confidential/sensitive materials are to be destroyed, do so by confidential shredding.

## Organizing Records

1. **Review** the record. Ask the “who, what, when, where, why” questions from above. Separate duplicates or other items not required to be kept. **Selectively retain** (SR) the remaining records.
2. **Classify** the type of record (e.g. General, Administrative, Financial, HR) and then the sub-type. (e.g. correspondence–business) Then, refer to the retention schedule for the sub-type of record.
3. **Pack** the completed records into a file storage box with one record type/subtype, where possible. Use a proper storage box and please use common sense when packing. (i.e. don’t overstuff!)
4. **Complete** a “[Records Retention and Disposal Form](#)” label for each completed box and obtain a signature from the responsible authority of the records. Make copies for your own records and for the office administrator. Attach the original signed label to one end AND another copy to one face of the box.
5. **Send** a copy of the label to the office administrator. All boxed records need to be tracked/ logged in/out in case there is a need to retrieve the record. Please contact the office administrator for the procedures to retrieve boxes.
6. **Notify** the office administrator prior to moving boxes to/from your storage location. This will be coordinated with you.

Volumes of records are generated every day. Fortunately, many of these do not need to be kept long term. However, care must be taken not to destroy records that should be retained!

## Sub-types of Common Administrative Records & their Retention Schedules

<b>Record Type: General Administration</b>				
<b>Sub-type</b>	<b>Active</b>	<b>Semi Active</b>	<b>Disposition</b>	<b>Authority</b>
Competitions – Applicants for faculty awards & prizes, other nominations	1yr	n/a	SR / D	Manager, Office of Dean
Competitions – Awarded	1 yr	Permanent	UA	Manager, Office of Dean
Committees Internal - Faculty Appointment, Reappointment, Promotion & Tenure	7 yr	4 yr	SR/D	Manager, Recruitment & Appointment
Committees Internal - Faculty Executive / Full Faculty (i.e., Faculty Governance)	2 yr	3 yr	UA	Director, Faculty Affairs
Committees Internal – Major Standing (representing Faculty of Medicine)	2 yr	3 yr	SR/D	Director or Manager of the division
Committees – Ad Hoc (representing Faculty of Medicine)	2 yr	3 yr	SR/D	Director or Manager of the division
Committees – Representative for an external committee	2 yr	0 yr	SR/D	Manager/ Director of unit
Committees Internal - Reviews - Department / School / decanal portfolios / external faculty	2 yr	SO	SR / D	Director, Faculty Affairs
Committees Internal - Searches - Department / School / decanal portfolios	2 yr	SO	SR / D	Director, Faculty Affairs
Contracts, agreements and other evidential documents, including accreditations	During term	SO	SR (Original – FA/UA)	Director of unit
Correspondence – business	2 yr	3 yr	SR/FA/UA	Director of unit

<b>Record Type: Financial</b>				
<b>Sub-type</b>	<b>Active</b>	<b>Semi Active</b>	<b>Final Disposition</b>	<b>Authority</b>
Accounts Payable: journal vouchers and backup documents, cash receipts, requisitions with vendor invoices in and receipts, purchase orders.	2 yr	5 yr	D	Director, Finance
Accounts Receivable: recovery accounts, Invoices out/ bill-backs	2 yr	5 yr	D	Director, Finance
General ledgers, financial reports	2 yr	5 yr	D	Director, Finance

<b>Record Type: Human Resources</b>				
<b>Sub-type</b>	<b>Active</b>	<b>Semi Active</b>	<b>Final Disposition</b>	<b>Authorizer</b>
Staff – recruitment (advertisements, job descriptions, unsuccessful applicants)	1 yr	0	D	Manager, HR

Staff – employees	During term	7 yr (after departure)	SR / D	Manager, HR & Director of unit
Faculty – recruitment (advertisements, job descriptions, unsuccessful applicants)	2 yr	0/ SR	SR / D	Manager, Recruitment & Appointment
Faculty – visiting, clinical, and postdoctoral fellows	During term	7 yr (after departure)	SR / D	Manager, Recruitment & Appointment
Faculty – clinical faculty, other non-tenure	During term	40 yr (after departure)	SR / D	Manager, Recruitment & Appointment
Faculty – tenure stream *See also Article 7.1 “Personnel files” – Collective Agreement, Faculty Association	During term	Permanent	FA	Manager, Recruitment & Appointment

<b>Record Type: Research Grants</b>				
<b>Sub-type</b>	<b>Active</b>	<b>Semi Active</b>	<b>Final Disposition</b>	<b>Authority</b>
Accounts Payable: journal vouchers and backup documents, cash receipts, requisitions with vendor invoices in and receipts, purchase orders.	2 yr	5 yr	D	Director, Research
Accounts Receivable: recovery accounts, Invoices out/ bill-backs	2 yr	5 yr	D	Director, Research
General ledgers, financial reports	2 yr	5 yr	D	Director, Research

<b>Record Type: Student Records</b>				
<b>Sub-type</b>	<b>Active</b>	<b>Semi Active</b>	<b>Final Disposition</b>	<b>Authorizer</b>
Applicants – General	1 yr	1 yr	D	Director, Admissions or Program
Applicants – Accepted & Matriculated	1 yr	Include in student file	D	Director, Admissions &/or Program
Applicants – Declined or Withdrawn	1 yr	1 yr	D	Director, Admissions or Program
Student – Visiting Electives (after last registration)	2 yr	3 yr	D	Director, MDUP &/or Program
Student – Graduated or Withdrawn (after last registration)	2 yr	8 yr	SR / D	Director, MDUP &/or Program
Student – Postgraduate Residents	Tbd	Tbd	Tbd	Director, PGME &/or Program
Student – Professional Programs	Tbd	Tbd	Tbd	Assoc Dean Prof Programs