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Office of General Counsel and Corporate Secretary
Department of Records and Information Management

Records and Information Management

USER GUIDE

This guide is intended to provide guidance to members of the Sheridan community regarding the management of active and inactive Records in all formats.

For further information, please contact the Department of **Records and Information Management Service Line**, Ext. 5584.

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Records and Information Management (RIM) at Sheridan

Records and Information Management describes the process by which information is created, used, stored, maintained, and eventually disposed of. All employees hired by Sheridan have a responsibility to manage the information generated by their business practices in accordance with all applicable legislation as well as Sheridan's Records and Information Management Policy.

1. Intent

As stated in Sheridan's Records and Information Management policy, the management of recorded information in any format, either physical or electronic, is the responsibility of all employees. This User Guide serves to assist Sheridan employees in understanding the value of and requirements attached to, the information that they create. This Guide will serve to assist employees in managing information in a secure, efficient, and collaborative manner.

The Records and Information Management User Guide should be used by employees as a basis for Records and Information Management at Sheridan however it is only one of a number of resources available for reference purposes. Sheridan employees are encouraged to review both the Records and Information Management Policy and Procedure and to contact the Records and Information Management Department should questions arise that are not covered in this Guide.

2. Advantages

The efficient and compliant management of recorded information will result in a number of benefits to the Sheridan Community, such as:

- Improved efficiency
- Reduced costs
- Improved access to and retrieval of information
- More evolved ability to conduct research
- More effective collaboration and information sharing
- Increased compliance to regulatory requirements and legislation
- Improved adherence to Freedom of Information and Protection of Privacy
- Enhanced student experience

As information continues to proliferate and the world enters an era of big data with an increased focus on organizational transparency, the proper management of information is imperative in order to ensure that the Institution manages risk and continues to remain at the forefront of technological and organizational progress. The following information will be advantageous to all faculty and employees and will ultimately have a positive effect on Sheridan's greatest resource, its students.

Who can assist with Records and Information Management?

The Records and Information Management (RIM) Department is dedicated to assisting all employees in the management of their records and the empowerment of employees in maximizing the value of records throughout their lifecycle. They will provide guidance and assistance when necessary on the following:

1. development of policies, procedures, and guidelines that support effective information governance pertaining to both active and inactive records
2. development of classification and retention schedules which authorize the retention and disposition of records
3. management of internal databases
4. consultation on records and information management strategic planning
5. appraisal and preservation of archival material
6. assistance with access to records and information
7. consultation with space planning
8. management of records disposition
9. inventory and audit services
10. etc.

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General Inquiries
Records and Information Management Service Line x5584
Records-management@sheridancollege.ca

What do we do?

Records and Information Management is about much more than just storing paper. As the records and information management field has evolved, the nature of the work has changed as well. Records and Information Management can include everything from the management of paper records to enterprise information architecture and content management. Please see below for a peek at some of the things we do in the Department of Records and Information Management.

What is the purpose of the Records and Information Management program at Sheridan?

The purpose of the program is to:

- develop policies, procedures, and guidelines which steer Records and Information Management across the institution
- conduct research into Records and Information Management requirements, protocols, and benchmarks in order to ensure the currency of the program
- collaborate with employees in order to ensure consistency and compliance with legislative and institutional standards
- develop, implement, and maintain record keeping systems that efficiently manage information in all formats
- assist in the provision of uniform access to information on an institution-wide basis
- provide efficient and prompt disposition of records when their retention has been reached
- administer records in relation to the Freedom of Information and Protection of Privacy Act (FIPPA), the Personal Health Information Protection Act (PHIPA), as well as all other relevant legislation
- administer required training, including onboarding to orient employees to fundamental RIM policies, procedures, and guidelines
- empower employees to manage information appropriately

Notes on Accountability:

As stated above, the proper management of information is the accountability of all employees hired by Sheridan. As such, the Department of Records and Information Management endeavours to empower the users of information to take an active role in its administration. Among other things, this means that all users must recognize that their information and records management practices are subject to the policies, procedures, and guidelines set by the Department of Records and Information Management, that their records are completely and fully discoverable, and that their actions are important in managing risk and maintaining Sheridan's reputation.

RIM FUN FACT:
Professionals spend approximately 15% of their time reading information but up to 50% of their time looking for it.

Why keep records?

As far back as human civilization extends, various forms of information sharing have been consistently developed in order to foster communication and to preserve ideas. Record-keeping is an integral component of the way in which human beings document events and maintain evidence of their activities. There are indications of record-keeping dating as far back as the ancient civilizations of Mesopotamia, Egypt, and the Persian Empire[1]. This signifies to scholars that the practice of keeping records is a deeply-rooted component of human organization.

Record-keeping is exceptionally important in the modern world due to the incredible proliferation of information brought on by technology and the internet.

Understanding the record-keeping practices of the ancient world is significant as it helps us to recognize that the desire to collect, store, and transmit information is something much older than ourselves and is a very natural inclination.

[1] Ancient Archives and Archival Traditions: Concepts of Record-keeping in the Ancient World. Ed. Maria Brosius. New York: Oxford University Press, 2003.

What is a record?

A record, as stated in Ontario's Freedom of Information and Protection of Privacy Act, is "any record of information however recorded, whether in printed form, on film, by electronic means or otherwise."[2] Records document evidence of business practices and are maintained for a variety of reasons including to ensure compliance with legislation and legal requirements, in order to substantiate operations and day-to-day business functions, in order to facilitate research and scholarly process, as well as to preserve the memory of the institution.

Records can include, but are not limited, to the following:

- correspondence, a memorandum, a book, a plan, a map, a drawing, a diagram, a pictorial or graphic work, a photograph, a film, a microfilm, a sound recording, a videotape, a machine readable record, and any other documentary material, regardless of physical form or characteristics, and any copy thereof.

- Any record that is capable of being produced by from a machine readable record under the control of Sheridan by means of computer hardware and software or any other information storage equipment and technical expertise normally used by the institution, or to which the institution can reasonably gain access

- Email records, including additional / forwarded copies

Record Types:

As stated above, a record can exist in a variety of forms. It is important to understand different record types in order to determine which records are required to be kept to satisfy Sheridan's Policies and procedures.

Record Type	Description	Method of Disposal
Original / Official	The first iteration of a created document. OR Official copy or original record that is both legally binding and enforceable. Official records act	Must be kept for the full retention period established in the Records Classification and Retention Schedule (RCRS) and disposed of as per

[2] Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F. 31. 2.(1). *E-laws: Ontario Government*. Web. June 29, 2015.

	as evidence of business processes and / or transactions. Ex: a signed contract.	Sheridan's destruction procedures.
Copy	Documents that are already in existence (as official records) but that are duplicates, used for convenience or as working copies. Please note that if important alterations, decisions, or other notes / comments are added to a copy, they become official and must, as such be retained as per the Classification Schedule. Ex: Copies of invoices	Confidential, secure disposal once use has been exhausted.
Transitory	Documents that have no business or evidentiary value. Ex: an invitation to lunch.	Confidential, secure disposal once use has been exhausted.

Here are a few tips that will be useful when attempting to determine whether your document is official, copy, or transitory:

Tip # 1	**Become familiar with the lingo**	Ensure that you are aware of the difference between official, copy, and transitory records.
Tip # 2	**Ask yourself what the document is being used for**	Is the document necessary for legal, operational, financial, historical, or business requirements? Does it provide evidence of a business activity? If yes, it is OFFICIAL – classify and file. Does the document contain only immediate, short term reference value? Was the document circulated strictly for reference purposes? If yes, it is TRANSITORY – securely discard.

Tip # 3	**Discard copy and transitory records regularly**	Copy and transitory records, can build up quickly and can be overwhelming to sort once created. Try setting aside an hour per week to discard unnecessary documents and file official ones.
Tip # 4	**Keep your email inbox clean**	Managing email can often feel overwhelming. As noted above, designating a period of time every week to manage your email inbox can cut down on frustration and ensure that official records are being kept. It can also help to define Outlook email folders to help stay organized.
Tip # 5	**Don't assume that all drafts, duplicates, or copies are disposable**	Sometimes, a variety of iterations of a record must be kept in order to ensure that the progression of a document is evidenced. Make sure that you are keeping all records that make note of business process or decision-making.
Tip # 6	**Ensure that you are using the Records Classification and Retention Schedule to classify official documents - regularly**	If you are keeping official records, ensure that you are keeping up-to-date with their filing. As well, be sure to consistently create and use active and inactive transfer lists. This will help to make retrieval easier and also, assist with transferring to inactive storage when the time comes.

What is an Originating Department?

The Originating Department of a record, sometimes referred to as the Responsible Department, refers to a business unit that creates a particular type of record, and has been listed in the Records Classification and Retention Schedule as the Department who is responsible for keeping that record series throughout its Active life. For example, the Originating Department for Fixed Asset Invoices (classification code, F03), would be Accounts Payable. This means that Accounts Payable is the Originating Department and is tasked with managing these Records during their Active life.

Note that Originating Departments must abide by all policies, procedures, guidelines, and practices applicable to Sheridan Records as outlined by the Department of Records and Information Management and the Office of General Counsel and Information and Privacy.

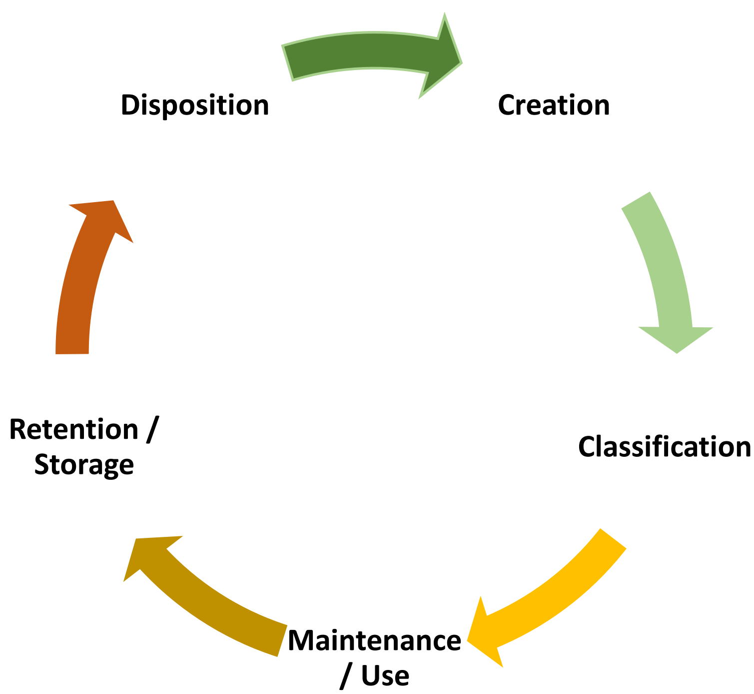
Does the Originating Department own the Records they create?

It is very important to remember that the designated Originating Department of a particular record does not own the records that they create. All records created through the course of everyday Sheridan business practice are the sole responsibility of Sheridan, save when there is agreement to the contrary. All official records are owned by Sheridan and are governed by the Department of Records and Information Management as per Sheridan's Records and Information Management Policy and Procedure.

If you ever feel unsure when attempting to determine what type of record you have, feel free to contact the **Department of Records and Information Management** for assistance at x5584.

Life cycle of a Record

Records have a life cycle regardless as to their physical form (paper, electronic, film, etc.). A record's life cycle depends on a variety of factors including its subject, its function, and subsequently, how it has been classified.



Studies show that a substantial amount of all information is not retrieved after one year post-creation. Though there may be a legal or operational requirement to maintain access to records, keeping them all in an office space is unnecessary and can lead to inefficient and unmanageable office situations. The utilization of off-site storage, an Inactive Records Centre, or both, is an ideal solution for storing records for long periods of time.

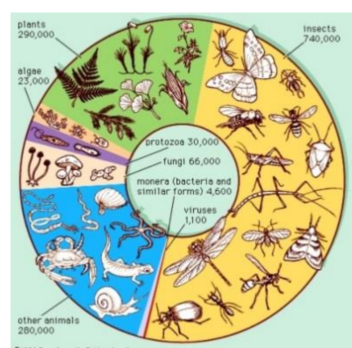
To ensure that records are disposed of efficiently, it is important to understand the requirements for records retention. Sheridan's Records Classification and Retention Schedule considers operational, legal, and audit requirements in its assignment of retention to individual codes and these requirements are consistently reviewed and updated to reflect regulatory updates.

While Sheridan has developed a Records and Information Management program to assist with the ongoing maintenance of records throughout their life cycle, it is important to remember that all employees are responsible for the records they create and must play an integral role in their administration.

What is Classification?

Classification is the process whereby similar objects are grouped together based on a set of criteria that defines them as alike, or related in some way. The major challenge that classification presents is that everyone on the planet has a system of classification all their own and as such, it is very difficult to form agreement on how things should be categorized. For this reason, we have a field of inquiry, and a team of specialists at Sheridan, who work to ensure that we maintain a Records Classification and Retention Schedule as well as a general classification system that works as well as possible for everyone.

RIM FUN FACT:
Classification is the process of grouping like articles together based on a pre-determined set of similarities.



How does Sheridan's Classification System work?

The Classification System employed by Sheridan is function-based and hierarchical. A function-based system means that a unit of information is organized first into one of a number of large groups based upon the function of the document. For example, financial records such as budgets and invoices would be grouped together: regardless as to which department created them.

1. *Primary Level of Classification*

    - The large subject groups mentioned above are called ‘Primaries’ and are indicated by an alphabetic character which matches their subject (ex: A = Administration, H = Human Resources, etc.). . Primaries are functional, rather than organizational. For example, although the Finance Department may use more files under the “F”, or Finance primary, it would also use other classifications as they pertain to specific administrative functions. Please see the RCRS for a full list of classification codes.

Primaries in Sheridan’s schedule:

A	Administration
B	Building / Equipment
C	Course / Curriculum / Program
F	Finance
H	Human Resources
L	Legal / Government Affairs
M	Medical / Health
O	Organization / Planning
P	Public Relations / Marketing
S	Student Records
Z	Student Activities / Services

2. *Secondary Level of Classification*

    - Within each of the large subject groups are smaller subject groups. Each of these smaller subject groups, called ‘Secondaries’, is more specific, but relates in one way or another to the Primary. For example, though budgets and invoices both deal with financial subject matter they are distinct from each other, have their own code. Secondary classifications are indicated by a two digit number added to the alphabetical character of the Primary. The combination of the alpha (Primary) and the numeric (Secondary) is called the classification code.

3. *Tertiary Level of Classification*

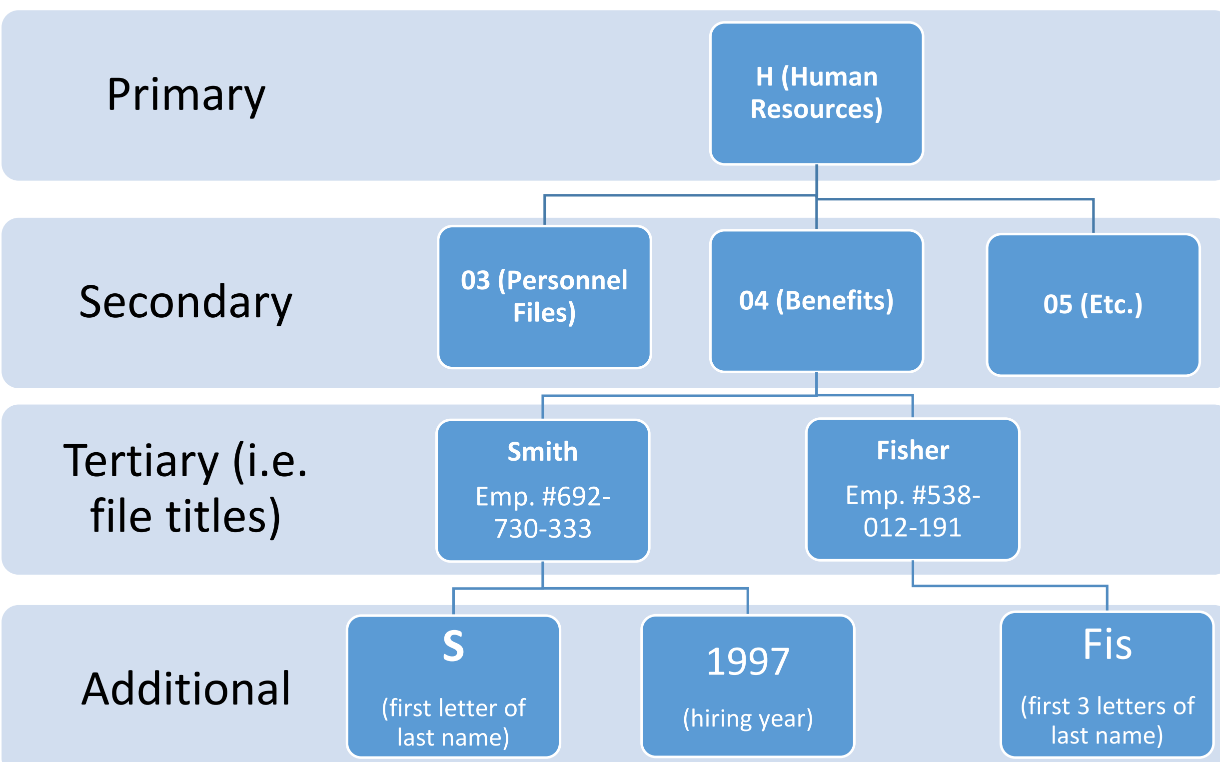
- The third level of classification, and the most specific means of identifying subject matter, is the Tertiary level or 'file title'. This could be a name, a description, or a uniquely identifying number, and reflects the individual needs of those working with the records. The Primary, Secondary and Tertiary levels of classification are mandatory for basic record-keeping at Sheridan however.

While the Primary, Secondary, and Tertiary levels of classification are a requirement for record-keeping purposes, employees may choose to add additional levels of departmentally specified classification such as alphabetic tags (for example, to signify the first letter of a last name), or date tags that symbolize a meaningful number. These additional pieces of metadata can greatly assist with retrieval; either for files on shelves or in drawers in active storage or in boxes once they have been transferred to inactive storage.

Important Privacy Note:

Ensure that personal information is limited when constructing file classifications. As per the Freedom of Information and Protection of Privacy Act, personally identifiable information should be restricted as much as possible and should be confined to those who absolutely require it to perform their roles. Keep in mind that the more personal information logged into the Tertiary level, the more identifiable the individual becomes and this should be avoided wherever possible.

Please see below for examples of classification at the primary, secondary, tertiary, and additional levels:



How do I use the Records Classification and Retention Schedule (RCRS)?

The Records Classification and Retention Schedule has been developed in an attempt to standardize the way records are classified, maintained, and retained across the Institution. It is intended to assist all employees in identifying which codes to use which in turn, informs how long the records should be kept. The Records Classification and Retention Schedule applies to both originals and copies.

The advantages to using the Schedule include:

- a structured approach to classifying records
- more efficient access to information
- clear direction on how long to keep original, copy, and transitory records
- identification of which department is responsible for maintaining official records
- better adherence to applicable legislation

Classification Step-by-step:

1. Visually scan your document to discern the subject matter. This will determine your primary classification (ex: M - Medical).
2. Refer to the Records Classification and Retention Schedule to ascertain the secondary classification code (under M - Medical, you can find a number of secondary classification codes, such as, M03 – Nurses Records).
3. Assign this classification code to your record.
4. According to your departmentally defined naming convention, allocate a description to your record.

Remember: all official records should be classified – regardless of format.

If you have any questions or concerns, about the Classification and Retention Schedule, please contact the **Records and Information Management Service Line**, Ext. 5584.

RIM FUN FACT:

The great philosopher, Aristotle, is considered to be the father of classification. Among other things, he is known for attempting to construct a natural classification of living organisms – this is called 'taxonomy'.

Reading the Records Classification and Retention Schedule

The Records Classification and Retention Schedule is a valuable tool that distinguishes the various records that Sheridan College creates and identifies how long they must be retained in order to abide by legislative and operational obligations. Once a record comes to the end of its lifecycle, it becomes eligible for formal destruction and decisions are made at that time as to what the fate of the record will be. Some records are transferred to an archive, other are destroyed, etc. It is organized to give users all the information they need in order to administer classification codes to the documents they create and to help them understand how records retention functions at Sheridan.
There are a number of abbreviations that users will see relating to retention. These “triggers” tell the records systems when to begin retention.

Find Below:

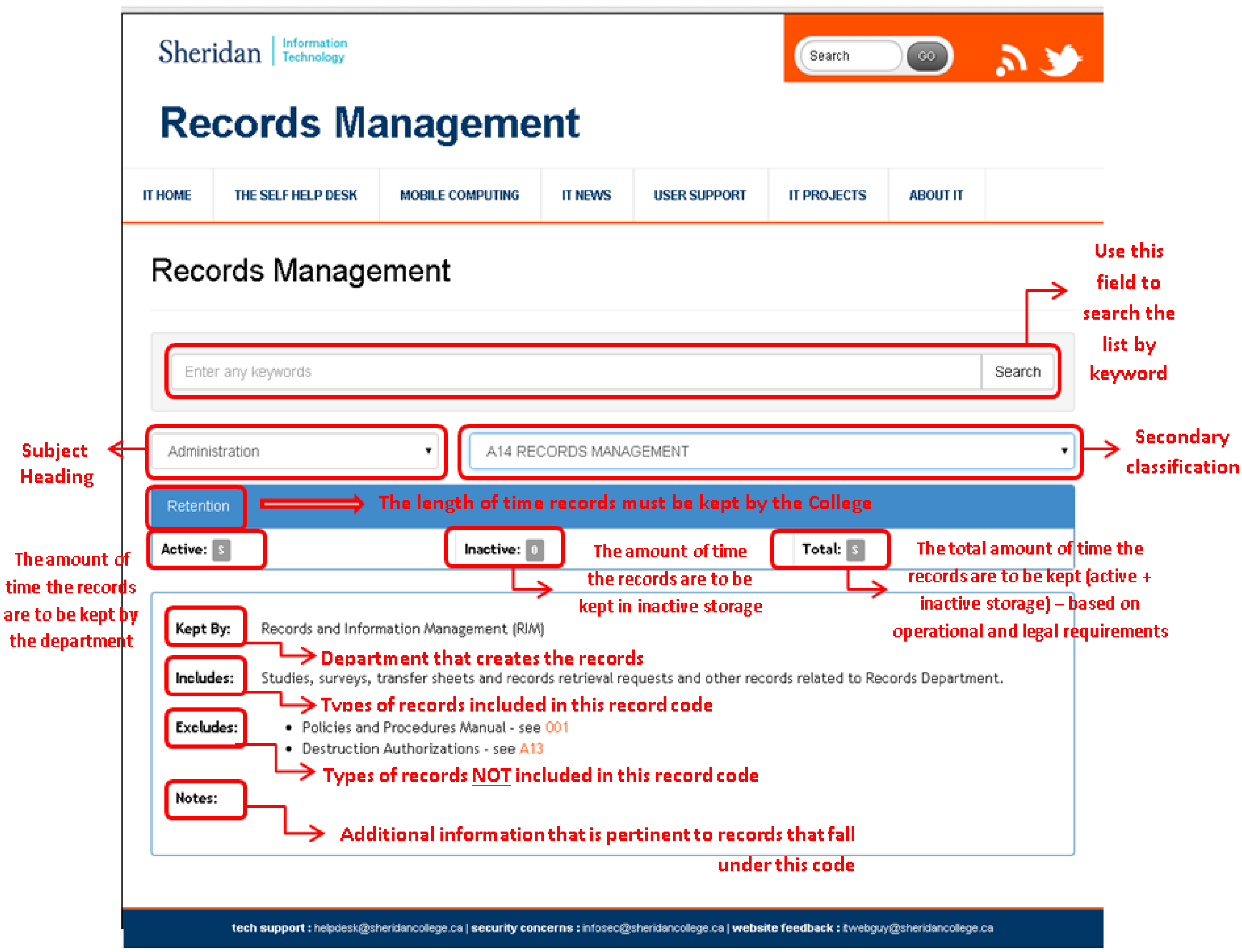
Abbreviation	Translation	Definition
CY	Current Year	The remainder of the year in which the record was created. Ex: If a record was created in June 2015, CY (remainder of current year, 2015) + 7 (full retention period) = January 1, 2023
CR	Creation	The retention begins at the moment of record creation. Ex:
S	Superseded	A record is considered superseded when it is replaced with a more current version. Ex: Policy documents
P	Permanent	Records with a permanent retention are never destroyed but may be transferred to inactive storage once their active life is complete. Ex: Permanent Student Records
T	Termination	A record is considered terminated when the subject to which it pertains closes / ends. Ex: an employee record is terminated when the employee leaves Sheridan College / if an employee leaves the College on June 18, 2015, T (Terminated date) + 50 (full retention period) = June 18, 2065

RIM QUOTE:

"Human beings, for all their pretension, have a remarkable propensity for lending themselves to classification somewhere within neatly labelled categories. Even the outrageous exceptions can be classified as outrageous exceptions."

- W.J. Reichmann

Please see below for an example detailing how to read the online Records Classification and Retention Schedule:



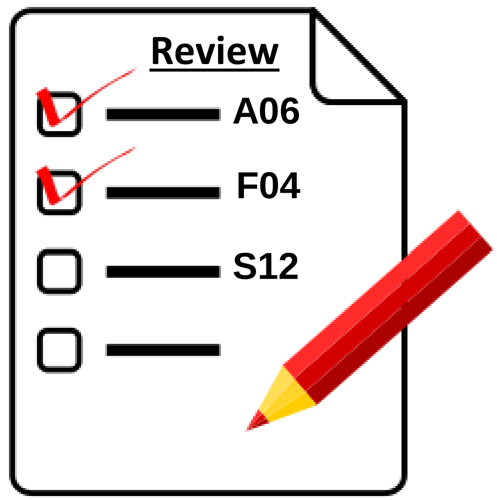
How to revise the Records Classification and Retention Schedule

Sheridan's Records Classification and Retention Schedule applies to all Records created or commissioned by Sheridan, regardless of format, published in the Records Classification Schedule and on the Records Management web site, represent Sheridan policy for the maintenance and disposition of Sheridan Records.

No Records can be destroyed or disposed of unless authorized by an approved retention schedule for the related Records series and sign-off by the manager of the responsible department has been acquired.

Five (5) - year review

To ensure Sheridan's Records Classification and Retention Schedule remains current and reflects any changes in programming, organizational structure, legal and regulatory requirements, Records contents or media format, the Department of Records and Information Management will formally review all records series and retention schedules within the classification scheme every five years (years ending in 2 or 7). The Department of RIM will also review classification codes on an ongoing basis in order to ensure adherence to all relevant legislation and business process.



How to propose changes to the Schedule

Notwithstanding the above, in the interval between these formal reviews, departments may wish to suggest changes to Sheridan's Classification Scheme and Retention Schedules, an addition of a new Records series for Records not previously retained and/or not covered by the existing scheme, or changes to the retention schedule for an existing Records series.

Please contact the Department of Records and Information Management to begin the process described below:

- Requested changes will be reviewed by the Manager, Records and Information Management

- If the change affects departments other than the requesting department, the Manager, Records and Information Management will collect all relevant information, document any changes, and acquire sign-off as necessary
- the agreed upon changes will be presented by the Manager, Records and Information Management to Sheridan's General Counsel for review, approval and sign-off

- Approved changes will be reflected in the Records Classification and Retention Schedule and published as revisions on the Records and Information Management web site.

The Freedom of Information and Protection of Privacy Act

The Freedom of Information and Protection of Privacy Act, R.S.O 1990 (FIPPA), legislates requirements regarding access to information held by institutions across Ontario and documents an institution's responsibility to protect the privacy of individuals. FIPPA outlines a right of access to information to the public and provides an assurance that the safeguarding of personal information will be upheld.

What is personal information?

The Freedom of Information and Protection of Privacy Act defines personal information as "recorded information about an identifiable individual. Personal information can include, but is not limited to, information concerning someone's race or ethnicity, their education, medical, and psychiatric details, information relating to their employment or criminal history or their financial transactions.

It can also relate to anything that uniquely identifies an individual such as name, phone number, birthday, SIN number, etc. It is important to ensure the safeguarding of personal information. This can be achieved by adhering to records and information management principles.

Personal Information = Name, age, birthday, place of birth, date of birth, gender, weight, height, fingerprints, social Insurance Numbers (SIN), PIN numbers, debit and credit card numbers, race, colour, national or ethnic origin, physical or mental disabilities, health history, blood type, prescriptions, income, financial information, employee files, employment history, disciplinary actions, convictions, charges, pardons, education history, religion, political affiliation, etc….

What is a Personal Information Bank (PIB)?

The Freedom of Information and Protection of Privacy Act requires that all public institutions are transparent in the information that they are collect about individuals and has mandated that each institution create a directory of personal information, called a Personal Information Bank, that lists and makes available all known personal information. The purpose of making this information available is to help the public know what, and how much, information is being kept about them as individuals.

A personal information bank (PIB) is an inventory of personal information under the authority of Sheridan that is organized and retrievable by a unique identifier such as a name, number, symbol, etc. The purpose of a PIB is to ensure that the transparency of collection, access, and use of personal information at Sheridan is strictly upheld. Freedom of Information legislation at both the Federal and Provincial levels require PIBs to be developed and accessible to the public in order to support privacy and access requirements.

A PIB collects the following details about personal information:

- whose personal information is being maintained
- the types of personal information maintained
- why the information is being maintained
- where the information is located / stored
- how long the information is retained
- who is retaining the information

Legislation requires the organization to:

- provide a right of access to information by the public
- Limit access of personal information to those who need the information to perform

their duties
- prevent the creation of PIBs without the consent and/or knowledge of individuals
- protect the privacy of individuals with respect to personal information about them held by institutions
- prevent the disclosure of personal information to any person other than the individual to whom the information relates

How can I determine whether I have a PIB?

If you have records that fit the definition above, the answer is yes, you have a PIB. For instance, if you store student tests, then you have a PIB. This means that you, in conjunction with the Institution, have an obligation to ensure that all records are appropriately identified using the Classification and Retention Schedule, and either transferred to inactive storage or destroyed at the appropriate time.

The Right of Access and Freedom of Information (FOI) Requests

As per the above, FIPPA requires that individuals are entitled to access their personal information and that institutions such as Sheridan act as cooperative partners in fulfilling those requests. In compliance with applicable legislation, Sheridan has developed both a formal and an informal request process for FOIs. Please see below.

Informal Request Process

Wherever possible, Sheridan encourages employees to make available requested personal information informally. There are three categories of Information Requests, each with a corresponding method of response.

Informal Requests:

1. **Student Requests in Person**

   - Provided the individual knows the scope and the location of their information and is able to communicate this to employees, they can receive their information in person by providing approved government-issued identification.

2. **Other Student Requests**

   - If an individual is unclear as to the exact scope / location of the required information, they can submit a written *Informal Request for Student Information* form, available on the external Sheridan website under Policies and Procedures. These forms, once received, should be forwarded to the Records and Registration unit of the Office of the Registrar for processing.

3. **Third Party Requests**

- Any requests made by third parties must be validated in writing by the student to whom the information pertains. The validated requests can then be handled as an “Other Student Request” would be.

Formal Request Process

Sometimes an informal request is not a possibility. In these situations, Sheridan retains a formal request procedure that can be made if the following three requirements are met:

Formal Requests

1. The request must be made in writing.
2. The $5.00 fee has been received by the Office of General Counsel and Information and Privacy Officer.
3. The requesting individual has provided sufficient details such that an experienced employee should be able to locate the information.

What Should I do if I suspect a Privacy Breach?

A privacy Breach occurs when the personal information of an identifiable individual is used, transmitted, disclosed, or disposed of in an unauthorized manner. The Office of the Privacy Commissioner of Canada clearly states that a privacy breach occurs when “there is unauthorized access to or collection, use, disclosure or disposal of personal or health information”.[3]

While privacy breaches can occur as a result of malicious acts, it is more likely that a breach will take place due to human error.

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[3] Office of the Privacy Commissioner of Canada: “Key Steps in Responding to Privacy Breaches”, online, < https://www.priv.gc.ca/information/guide/2007/gl_070801_02_e.pdf>.

Examples of privacy breaches can include:

- mistaken disclosure of personal information (e.g. an email containing personal information is mistakenly sent to the wrong person)
- stolen personal information (e.g. a lost computer or USB device)
- lost personal information (e.g. a misplaced file)
- use of personal information for a purpose inconsistent with the original purpose for which it was collected

If you suspect or have confirmation that a privacy breach has occurred, the most important thing to do is to **REPORT IT** to the Office of General Counsel and Corporate Secretary. The first 24 – 48 hours after a breach occurs are critical to managing associated risks.

There are four steps to responding to a breach:

1. **CONTAIN** the breach and conducting a preliminary assessment;
2. **EVALUATE** the risks
3. **NOTIFY** any and all those affected
4. **PREVENT** a future breach

Steps 1, 2 and 3 should be taken immediately after discovery of the breach. Step 4 is a long-term response that will help to prevent future privacy breaches.

Strategies that can help to avoid a privacy breach:

- Build privacy into systems at the onset of use
- Ensure all employees are educated as to the implications of a breach
- Ensure training is provided and that employees understand their responsibilities
- Do not transmit personal or sensitive information via email
- Think about the placement of equipment that may transmit personal information
- Ensure any and all contractors are aware of their responsibilities
- Wherever possible, avoid the use of USB devices
- Build privacy requirements into contracts and agreements
- Do not leave laptops or work cell phones in plain sight – if you have to leave a device in the car, lock it up in the trunk
- Lock your computer each time you leave it unattended
- Do not leave personal information on your desk for others to see (clean desks)
- Do not place documents containing personal or sensitive information (particularly internal emails) in recycling boxes – this information should be placed in the grey confidential shred bins located in and around the Sheridan campus
- Ensure that information is consistently being filed as per Sheridan's standards

If you have questions regarding freedom of information, access to information, PIBs or any other related enquiries, please contact the **Office of the General Counsel and Corporate Secretary**.

Guidelines: Document Naming

How Should I name my Documents?

Naming Conventions

Naming conventions are critical to any robust records and information management program for a number of reasons, some of which are listed below.

Good naming conventions can:

- Increase the ease and speed of search and retrieval (access)
- Standardize document information
- Help to avoid storing duplicate documents (particularly duplicates with different data)
- Increase consistency in the application and collection of information
- Increase the ability to share information
- Improve the ability to collect more meaningful statistics
- Enforce adherence to Freedom of Information legislation
- Promote effective version control
- Ensure that all employees, rather than a few, can access / process information quickly

Improper naming can result in inefficient business processes, increased risk to the transmission and / or confidentiality of information, as well as valuable time being lost searching for the correct information.

How should documents be named?

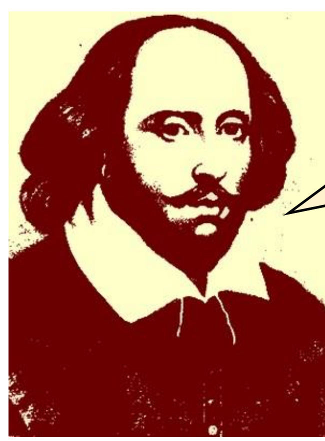
- Descriptively
- Consistently
- Uniquely
- With consideration to privacy and confidentiality

Consistency is key

Benchmarks (Rules of Thumb):

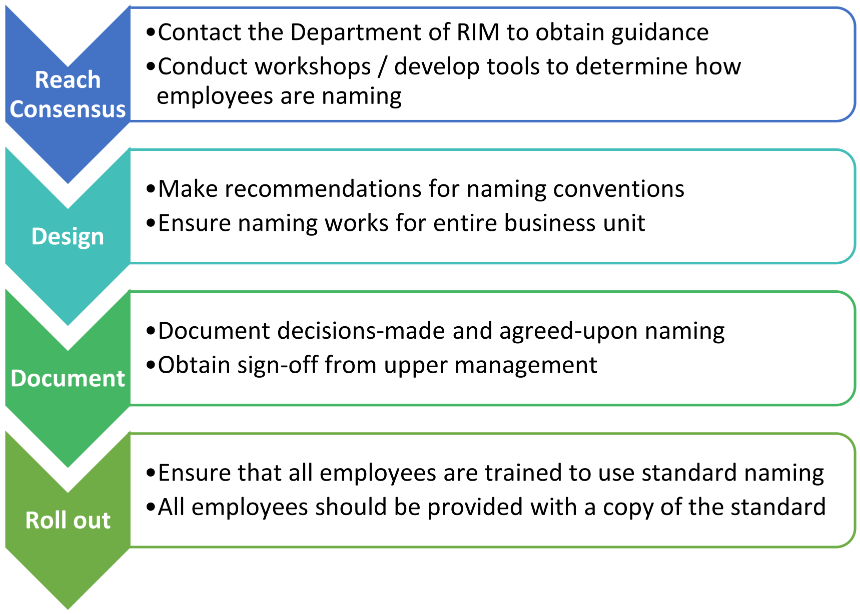
1. Develop naming that is as descriptive, yet concise, as possible
2. Ensure consistency and standardization of naming
3. Ensure that sensitive information is removed from plain sight
4. Document and achieve sign-off from upper management
5. communicate to in order to ensure consistent use
6. New employees should be trained to abide by document standards

Appropriate and departmentally-approved naming conventions should be applied to all records, regardless of format.



How do I determine what our naming conventions should be?

There are a number of steps to go through when deciding on naming conventions. Please see below:



If you are unsure of how to develop a standard for naming documents in your business unit please contact the **Department of Records and Information Management** at x5584.

Guidelines: Electronic Records

The explosion of information technology that has been steadily increasing over the past 50 years has resulted in an exceptional increase in electronic information. Because of this, records and information management strategies have had to adapt to the changing needs of organizations.

Desktop and Personal Drives

An employee's desktop computer can often act as a catch-all for a conglomeration of copy and official records, in-progress documentation, and all manner of miscellaneous files. It is important to ensure that official records are being stored on the Shared Drives and that transitory items are being consistently expunged. This will ensure better organization and more efficient software functionality.

Shared Drives

Shared drives have been created so that Sheridan employees are able to collaborate on documents and function more effectively as a team. However, these drives can often suffer from many of the same pitfalls that affect paper records. A build-up of transitory documents, a lack of standardization in naming conventions, and an overall deficiency in supervision of the shared drives can result in an inability to retrieve critical information, inconsistent application of retention, as well as a general inadequacy in the control of information resources.

Inefficient management of shared drives can lead to:

- Multiple folders created for the same information
- Duplication of information
- Information that is difficult to retrieve due to inconsistent naming
- Valuable employee time wasted in information search and retrieval
- Information that is inaccessible to other employees when an individual is away from the office
- Irretrievable information as a result of employees not having the appropriate permissions
- Information that is lost as a result of an individual changing jobs
- “Orphaned information” that is not attached to any particular file / folder

Here are some tips and tricks on how to manage your shared drive:

Tip # 1	**Develop Standard Naming**
	Make sure to develop a standard naming convention for your business unit. This will ensure that files and folders are named in such a way as to

	maximize their retrieveability and usefulness. Please refer to the information in the Naming Conventions portion of this Guide in order to name documents efficiently.
Tip # 2	**Develop Consistent Document Standards**
	Develop a set of document standards unique to your department that detail accepted practices for how to maintain information within the shared drive. Among other things, these standards could include how to map a folder structure, rules governing document creation, version control, and email management.
Tip # 3	**Assign a Shared Drive Folder Administrator - Part 1**
	Ensure that someone within the department has responsibility for the shared drive folder structure. This individual would be accountable for all new folders created and would ensure that any employee requesting a new folder would be required to justify the addition to the folder structure and achieve proper sign-off prior to creation.
Tip # 4	**Assign a Shared Drive Folder Administrator - Part 2**
	Assign someone in the department to maintain responsibility and supervision of the shared drives. This individual should be accountable for monitoring the drive for naming conventions, document standards, and business rules, as well as auditing the system for compliance. This employee would also act as the link between employees and management in terms of achieving sign-off for new folder requests.
Tip # 5	**Document all Departmentally-defined Guidelines**
	Document the above-noted information clearly, achieve sign-off at upper management level, and distribute information to all employees. Conventions and document standards, as well as a shared drive's proper maintenance, function most effectively when all employees are knowledgeable in the practices and on-board.
Tip # 6	**Develop a Training / Communications Plan**
	Develop a communications and training plan to confirm that employees understand and are willing to abide by the guidelines described above. It would be useful to employ a checklist for each employee that outlines their requirements.

Email

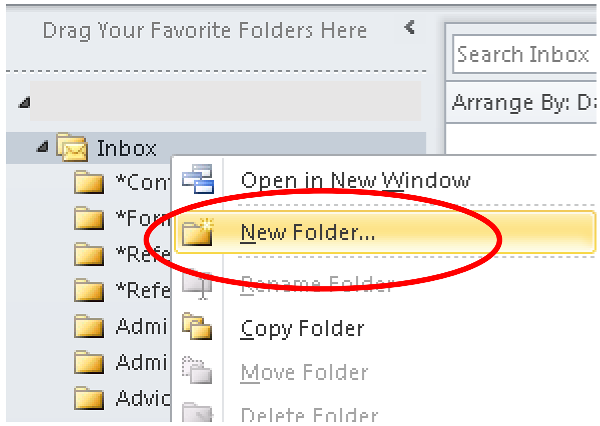
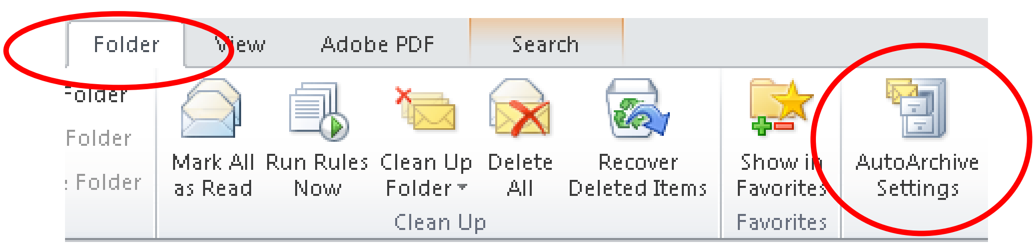
Email is a rich resource that gives employees the ability to communicate directly at the touch of a button. While email has certainly improved communication across the institution, it has created yet another stockpile of records that Sheridan is obligated by law, to manage. While email is an extremely effective communication tool, it is important that it be carefully managed as any other record would be. It is important to remember that all of Sheridan's policies and procedures governing records and information management fully apply to email as well.

Ways that effective email management supports Sheridan:

- Improves productivity
- Less time wasted in attempting to retrieve lost email
- Organized email is easier to reference later
- Promotes organization
- Enables mobility
- Increases communication
- Supports information sharing and collaboration
- Improves compliance to RIM policies
- Reduces legal risk

Helpful Hints for managing email:

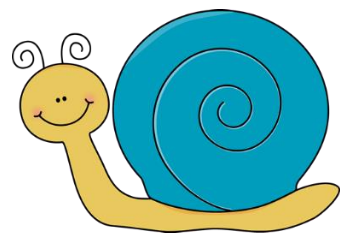
Tip # 1	**Mark as unread**
	Make sure to mark any items that you have not gotten to as 'unread'. This will act as a reminder to you for later that you have email that must be addressed. Another strategy is to have a "Requires Action" folder.
Tip # 2	**Delete all transitory emails directly after reading**
	Transitory emails can quickly build up and begin to overwhelm your mailbox. Make sure to delete transitory emails right after reading to ensure they are not being left behind to congest your Outlook mailbox.
Tip # 3	**Sort email into folders**

<table>
<tr><td></td><td>Creating folders is a great way to stay organized. Develop a set of folders that work for your business process and stay consistent.

</td></tr>
<tr><td rowspan="2">Tip # 4</td><td>Set aside an hour per week to sort email</td></tr>
<tr><td>Setting aside time each week to sort, file, and classify official emails and to delete items that are no longer needed is an effective way to ensure that you are keeping up-to-date with email management.</td></tr>
<tr><td rowspan="2">Tip # 5</td><td>Turn on the auto-archive function</td></tr>
<tr><td>The Auto-archive function in MS Outlook can help you to manage your email effectively by automatically moving items from active folders into an “archive”. You are able to identify items to be moved and when.
REMEMBER: save all official items prior to their eventual deletion.

</td></tr>
<tr><td rowspan="2">Tip # 6</td><td>Manage email consistently</td></tr>
<tr><td>If email is left for too long unchecked, it can feel overwhelming to address the issue when it finally becomes necessary from an operational or legal standpoint. Make sure to avoid this situation by continuously reviewing your email Inbox.</td></tr>
</table>

Tip # 7	**Always save and file official emails**
	Emails are subject to the same rules and regulations as all other official records across the institution. Please ensure that all official emails are being managed according to Sheridan policies and procedures.
Tip # 8	**Understand your responsibilities**
	Every Sheridan employee has a responsibility to manage email effectively. In order to ensure that Sheridan maintains its reputation and manages risk, all email should be considered to be discoverable as per all applicable laws.

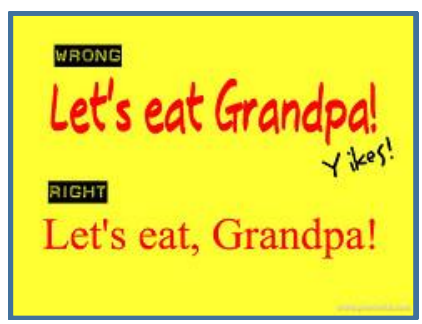
RIM FUN FACT:

The iconic @ sign that defines email addresses has been nicknamed in a variety of ways in other languages, including: *mouse's tail, sleeping cat, little duck, little worm, "a" with an elephant's trunk*, and *monkey's tail*.



Don't let this happen to you!!

RIM Email Etiquette:



DO	DON'T
Identify yourself	**Be terse**

• It is important for your recipient to know who you are and what it is you require in order to create a clear audit trail.	• A polite introduction / salutation goes a long way in making the recipient of an email feel amenable to your suggestions or requirements.
Write concisely • Be sure to write as clearly as possible to avoid misunderstandings and to create as professional record as possible. Clarity is your best bet!	**Email when angry** • Take a breath and give yourself time to cool down – you might regret what you emailed later – and it will be forever discoverable.
Use a clear and meaningful subject heading • This is the recipient's first clue as to the nature of your email – make it count!	**Do not use "High Importance" unless absolutely necessary** • People will stop trusting your judgment if you tag everything in this way.
Include an email signature • Including all relevant contact information helps the recipient know how to respond.	**Copy people unless necessary** • Only copy someone if they truly need to read or take action on your email – this will help to reduce duplication.
Respond in a timely fashion • Responding quickly helps people know that you care about the issue at hand and also helps to keep you organized.	**Forget about punctuation** • There is big difference between saying "Let's eat Grandpa" and "Let's eat, Grandpa". Understanding that difference is important!
Maintain privacy at all times • Don't include private, personally identifying, or confidential data unless absolutely necessary. When it is absolutely necessary, remember to use the appropriate safeguards.	**WRITE IN ALL CAPS** • Your recipient may misconstrue this as you yelling at them.
Proofread • Be sure to give your email one last look prior to hitting send in order to avoid embarrassing errors.	**Email for no reason** • Make sure you have a clear reason for your email to avoid clogging your recipient's mailboxes.
Ensure confidential shredding • Internal emails should always be put into confidential shred bins rather than regular recycling.	**Share emails unless necessary** • Emails should not be forwarded along to others unless there is a legitimate business purpose.
Save and classify all official emails • Abide by all of Sheridan's records and information management policies and procedures when managing email.	**Forget please and thank you** • Your parents were right – please and thank you are always appreciated.

Email Clean-up

How can I clean-up my email?

1. **Start Here**

    - Delete all transitory emails from your inbox
    - Ensure you have an organized folder structure set up in Outlook
    - Open a folder where you can store reference emails
    - Store emails that need to be kept in folders rather than in your Inbox
    - Use the *Large Mail* search to find the emails taking up the most space
    - Delete transitory items with large attachments

2. **Stay Organized**

    - Use Outlook Rules to sort emails automatically
    - Use program / project folders (if applicable)
    - Colour code your emails and your Calendar tasks
    - Turn off ‘Email Notifications’
    - Set up these folders in Outlook to stay on task:
        - Requires Action
        - Requires Reading
        - Requires Review
    - Delete transitory items every day
    - Go through your sent email once a week and file official emails
    - Empty your ‘Deleted Items’ folder every day

3. **Reduce Mailbox Size**

    - Only send an email when necessary
    - Delete transitory items right after reading
    - Reduce unnecessary follow-up by including “No reply required”
    - Eliminate unnecessary attachments

Remember: **Email is fully discoverable.**
Don't record anything you wouldn't want everyone at Sheridan to read.

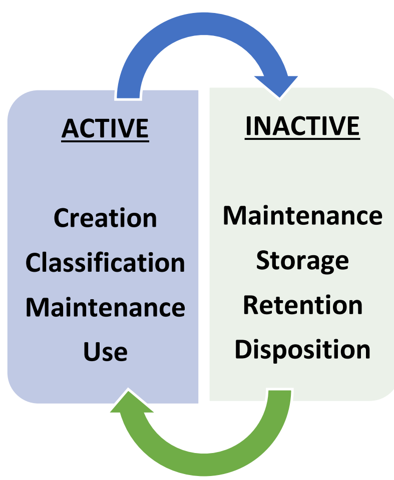
RIM FUN FACT:
Homer Simpson's email address is
chunkylover53@aol.com.

Guidelines: Physical Records

Sheridan maintains records in a variety of physical forms and users are responsible for the development of appropriate practices to ensure that records adhere to Sheridan's standards as defined in all applicable policies and procedures.

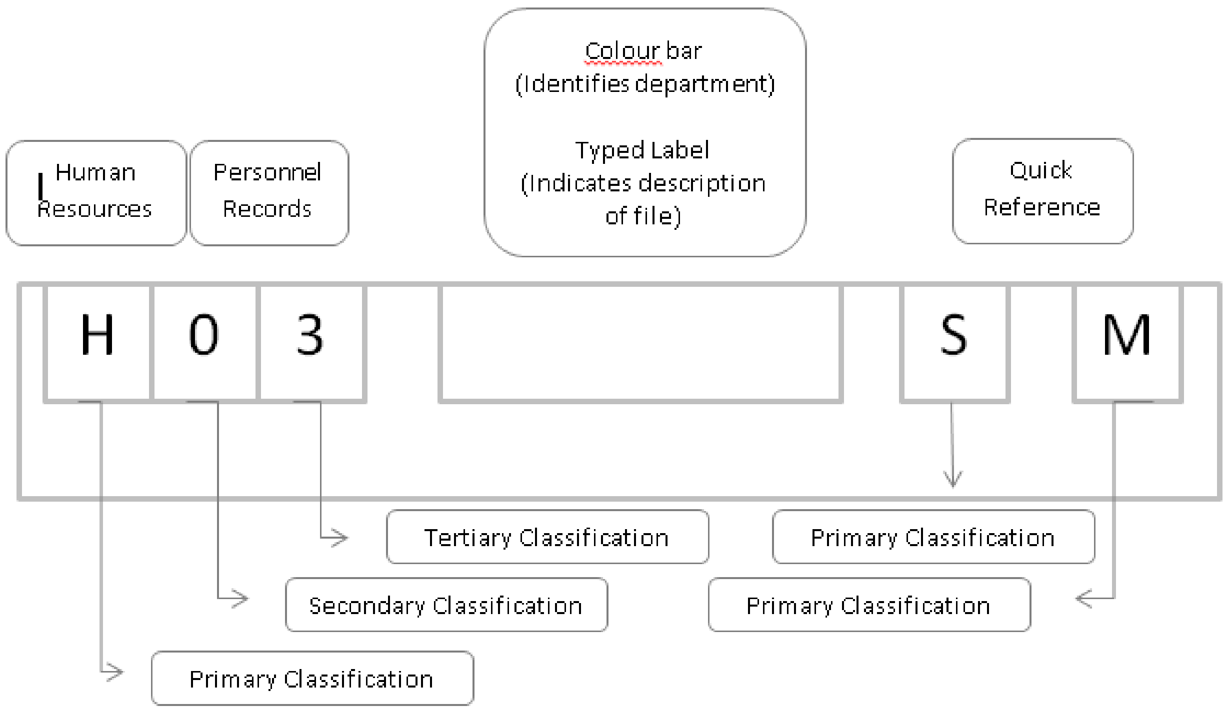
How do I maintain Active Files?

A file is considered to be active when it is still being used in everyday business practices. The Records Classification and Retention Schedule has been designed to account for both active and inactive retention periods: the former being kept in the Department and the latter being housed in the Inactive Records Centre. Please note that active files must be kept within the department until the end of their FULL active retention period.



How do I affix labels to top-tab files?

In colour coded filing systems, labels must line up with other folders in the same series so that the rows of labels form straight horizontal lines. The following is what your completed top-labelled file will look like:

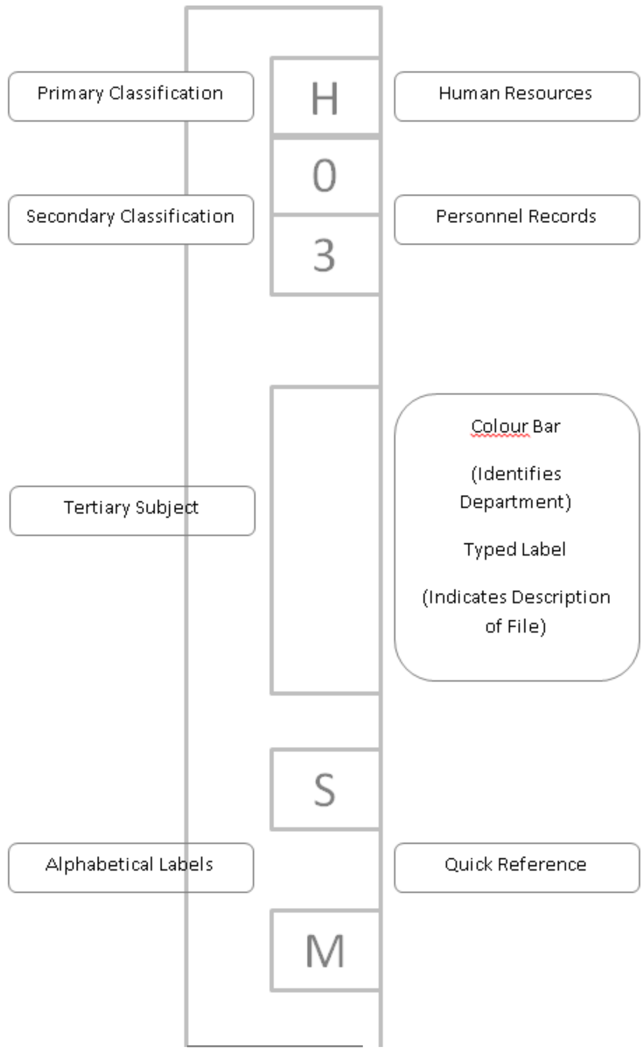


How do I affix file labels to side-tab files?

In colour coded filing systems, labels must line up with other folders in the same series so that the rows of labels form straight horizontal lines. The following is what your completed side-labelled file will look like:

NOTE: Colour-coding is optional.

Please see below for an example of what your side-tab folders should look like:



How do I maintain an Active File List?

All departments should maintain a current list of active files. This will ensure ease of search and retrieval when looking for files. It will also make for a smoother transition when preparing boxes for transfer to inactive storage.

Active File List Step-by-step:

- Create a listing that details all active files kept by the department.
- Provide a copy of the listings for easy access to all filing system users in the

department.

- As each new file is created, add it to the list.
- As each file is permanently removed from the system through approved transfer or destruction, delete it from the list.
- Date each revised version of the listings. File old listings (A14) and update all copies in circulation.
- These listings can assist you when creating File Transfer Lists for transfer to the Inactive Records Centre.

IMPORTANT: ensure that an individual within the department is given responsibility for this document to ensure consistency, appropriate auditing, and accuracy of information.

Helpful Filing Tips:

- Avoid saving unnecessary documents
- Securely dispose of transitory information as soon as its use has been exhausted.
- Store related information together wherever possible
- As a general rule, the originator is responsible for retaining correspondence.
- Assign a classification code to all official records.
- Use standards naming conventions to ensure consistency
- Arrange records in an organized manner using your departmentally-defined standards and conventions.
- Use “Out” cards to signify when a file has been removed from its spot (this will ensure efficient search / retrieval.

IMPORTANT RIM TIP:

Whatever practices your department decides on, if it is to succeed in being effective, it should be convenient for employees, and match business processes. While there is no “one-size-fits-all” approach, using these guidelines to determine a set of consistent standards for your department will no doubt maximize efficiency.

How do I create an Inactive File List?

An inactive file list is critical in order to ensure that your records will be accessible once they have been transferred to the Inactive Records Centre.

Inactive File List Step-by-step:

- Determine which records have an inactive retention period assigned
- Create a listing of all records that have an inactive retention
- During the Transfer period, all boxes must include a “File Transfer List” which describes each file in the box
- File these lists for future reference

RIM UN FUN FACT:

The average document is photocopied / printed 19 times.

Guidelines: Records Transfer

Records are transferred to inactive storage once they have exhausted their active retention within their department of origin. The Inactive Records Centre is used as a holding location where inactive records live out their applicable retention.

How do I send records to the Inactive Records Centre?

Records Transfer Step-by-step:

1. **Preparing Records for Transfer**

    - Refer to the RCRS to determine which of your records have an inactive retention and are eligible for transfer.
    - Ensure that ALL records are correctly classified (as per the RCRS) and have a clear description prior to boxing.
    - Cull files in order to purge any unnecessary or duplicate material.

- Any records that have already passed their total retention should be put to the side (refer to the "Records Destruction Guidelines" of this Guide for further instructions).

2. Boxing Records

- Pack files into standard storage boxes available from the Department of Records and Information Management. DO NOT use any other type of box as they will not fit on the shelves. Only use authorized boxes from the Department of RIM. Records in unauthorized boxes will be sent back.

- Please only send boxes that are at least three quarters full. Space is at a premium and under-packed boxes will crumble under the weight of other boxes on the shelves. A correctly packed box will have enough space to easily add / remove files. Overfilled or broken boxes will be returned.

- Pack files from the same record series in the same box (es).

- When boxing files, please make every effort to ensure that each box is equal to a unit of time of the same record series (semester, unit, year, etc.). If it is an absolute requirement to fill a box, more than one unit of time is acceptable.

- Do not remove original file folders (unless hanging). Place files as are into the boxes with the folder label clearly visible upon opening. Place file into the boxes in the same order as they were in on the shelves.

- Remove ALL hanging folders and replace with regular file folders.

- Records originally stored in binders must be transferred to regular file folders when transferred. Please note that files should be no more than an inch thick and numbers should be added to files of the same binder.

- Slide your Box Content List into the front of the box where it is clearly accessible to RIM employees.

3. Completing the Transfer Forms

- Complete a Box Content List for each box which clearly identifies which files are in the box. Records stored in the Inactive Records Centre will remain under Originating Department control. This means that we will retrieve your records, however, it is the department's responsibility to be aware of the files you have in the Inactive Records Centre.

- Transfer lists must include a file number, classification code, title / description and date range of the records.

- All boxes must be coded according to the RCRS and their contents listed on individual File Transfer Lists.

IMPORTANT:

ALL files MUST be correctly classified and boxes must include file transfer lists in order to be accepted into the Inactive Records Centre. Any box lacking these criteria will be sent back to the department at their cost.

4. Transferring Boxes to the Inactive Records Centre

- Forward the Records Transfer Package to the Department of Records and Information Management, C / O RIM Officer.

- The package will be reviewed to make sure that all information is accurate and complete. It will then be signed off by the RIM Officer as well as the Manager, RIM.

- Your department will be advised once the paperwork has been authorized.

- Once authorization has occurred, you may arrange to have your boxes transferred to the Inactive Records Centre by contacting the Department of RIM. In the case that there are more than 10 boxes, please contact the Facilities Help Desk at x2255.

- Once your boxes have been indexed, you will be sent a scanned copy of the File Transfer Lists for future reference. Please maintain these lists as they will help you to submit records requests as required.

EXCEPTION:

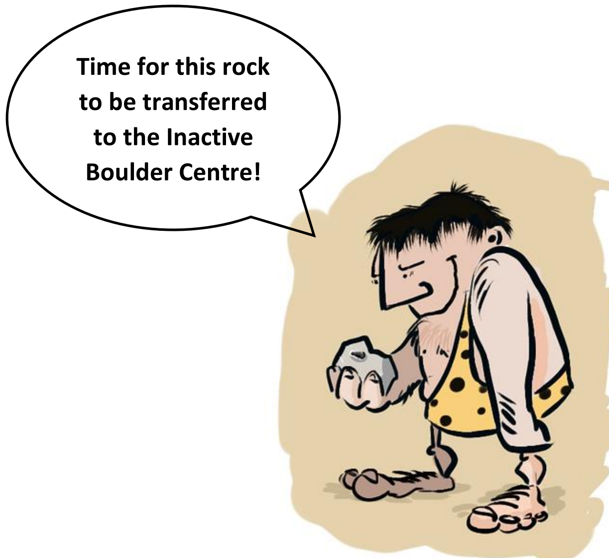
The Financial Aid Department should forward inactive "Financial Aid/Loan Files (S04)" to the Ontario Government Record Centre via the Ministry of Colleges & Universities, Students Awards Branch as per established policies/procedures.

IMPORTANT:
Please avoid leaving boxes for transfer unattended, particularly when they contain personal information.

RECAP:

What should my Records Transfer Package include?

Your Transfer Package should include the following documentation along with the applicable boxes. Please staple paperwork and address to the Department of Records and Information Management, C/o RIM Officer:



1. Box Transfer List
2. File Transfer Lists describing the contents of EACH box (ex: 12 boxes = 12 Transfer Lists)
3. Paperwork should be stapled and addressed to the Department of Records and Information Management, C/o RIM Officer

Please ensure that you have included the corresponding File Transfer List in the box to which it pertains as well as in the Records Transfer Package. Among other things, this assists the Department of RIM in maintaining a complete inventory of materials within the Inactive Records Centre.

Preparation
- Identify records for transfer (RCRS)
- Ensure all records are properly classified
- organize and box classified records in approved boxes

Documentation
- Prepare box and transfer lists
- Send transfer package to Dept of RIM for review
- Await authorization (will come via email)

Transfer
- Once authorized, place order to have boxes moved to Inactive Records Centre
- Copies of listings will be scanned once boxes are shelved

File Transfer List:

<table>
<tr><td colspan="3">Sheridan

FILE TRANSFER LIST</td><td colspan="2">**Do not write in shaded area**

(Records and Information Management use only)

Permanent Box Number

Box Location Number</td></tr>
<tr><td colspan="3">Records Type:</td><td colspan="2">Transfer Number</td></tr>
<tr><td colspan="2">Department Name:</td><td>Transfer Date</td><td colspan="2">Disposal Review Date</td></tr>
<tr><td colspan="5">**PLEASE NOTE:** These records must have a common retention disposal date. Do not list the contents of more than one box on the same form.</td></tr>
<tr><td>File #</td><td>Class Code</td><td>**File** Title/ Description</td><td colspan="2">Date of Records
From To</td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="4">**Total Number of Files**</td><td></td></tr>
</table>

Box Transfer List:

<table>
<tr><td colspan="3">Sheridan

BOX TRANSFER LIST</td><td colspan="2">Do not write in shaded area

(Records and Information Management use only)

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<tr><td></td><td colspan="2"></td><td></td><td></td></tr>
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<tr><td></td><td colspan="2"></td><td></td><td></td></tr>
<tr><td></td><td colspan="2"></td><td></td><td></td></tr>
<tr><td colspan="4">Total Number of Boxes</td><td></td></tr>
</table>

Department Authorization (Name and Signature)	**Dept of RIM Authorization** Records and Information Management Officer ______________________________________ Signature Date Manager, Records and Information Management ______________________________________ Signature Date
Print Name & Extension	Print Names & Extensions

Guidelines: How to Retrieve Inactive Records

Inactive records are held in the Inactive Records Centre maintained by the Department of Records and Information Management. During regular working hours, the Department of RIM can normally be expected to reply to any request within 2 business days. If there are any issues, the requester will be informed on a timely basis.

File Request Step-by-step:

1. Refer to the Records Transfer Lists on file in your area and identify the location information required to fulfill your request.

2. Contact the Sheridan IT Service Desk (servicedesk@sheridancollege.ca x2150) to generate a work order that will communicate your request to the RIM Department. In your request, please include:
   - Name, title, and / or number of the file you wish to retrieve

- Unique box number in which your file is located
- Box location number
- Classification Code
- Date of File(s)

3. Normally, the file or box (es) requested will be delivered within 2 business days. Please note that the Department of RIM can only retrieve records if they were properly identified before they were sent to the Inactive Records Centre.

4. When you are finished with the file and / or box (es), please arrange to have the records returned to the Department of RIM.

Helpful Hints for an Easy File Request:

- Ensure that all files are transferred accurately in the first place
- Include as much information about the file as possible
- Record year is mandatory
- Always log requests with the Service Desk
- Please only one record per request
- Place a Work Order with Facilities Services Help Desk to have large orders delivered (fees apply)

IMPORTANT NOTE: Files must be requested through the Service Desk. Requests via email or phone to the Department of Records and Information Management will be re-directed to the Help Desk.

What is Records Disposition?

Records disposition refers to the way in which records are disposed of once they have reached the end of their active life cycle. When a record has reached this point, important decisions are made which determine the fate of the record. Many records are destroyed as per Sheridan policy and retention schedules, however, some are retained permanently, put on legal hold, or transferred to the Corporate Archive.

Records Destruction

Timely destruction of records according to Sheridan's Records Classification and Retention Schedule is essential for the elimination of unnecessary storage costs, to ensure the maintenance information as per provincial and federal legislation, as well as to make sure that risk is being managed within the institution. In like fashion, Sheridan's destruction procedures have been developed to guarantee timely, secure, and confidential destruction of official records.

Why do we destroy records?

Every record series in Sheridan's Records Classification and Retention Schedule has an established retention period that is based on meticulously researched legislative and operational requirements.

Timely destruction of records is important for a number of reasons:

- To create space
- To keep off-site storage costs down
- To ensure adherence to legislative requirements
- To ensure secure destruction of personal information according to FIPPA

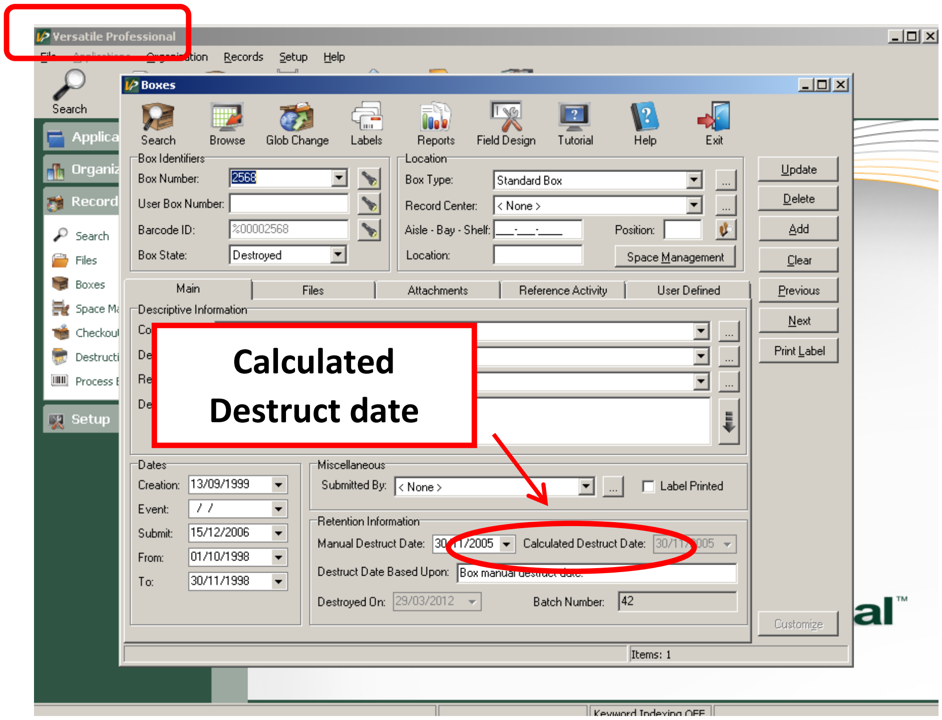
When and how can I destroy copies of original records and transitory items?

You can destroy copies and transitory items at any time prior to the original record being destroyed or transferred to Inactive Storage. Employees are encouraged to continuously monitor their information resources and to dispose of copies and transitory information once these items have become unnecessary. There are no legal requirements to retain copies of records once their administrative requirements are met. (Please refer to the section of this Guide that pertains to determining whether a document if copy or official.)

NOTE: When disposing of copies and / or transitory information, please do so in a securely LOCKED grey or blue bin.

How are Records destroyed in the Department of Records and Information Management?

As per the Records Classification Schedule, the Department of Records and Information Management periodically run reports through its Paper Management System, Versatile Professional, which identifies which records are eligible for destruction.



The Department of Records and Information Management will forward lists of records to your department that are ready for destruction. Only after the lists have been reviewed and approved by upper management will the Department of RIM carry out the destruction of eligible records. Remember, the Department of RIM acts as the official steward of records on behalf of the College and your department.

The Records Destruction Notices and documentation verifying that the records have been destroyed will be maintained by the Department of Records and Information Management permanently.

How are Records Destroyed by the Originating Department?

Records with no inactive retention

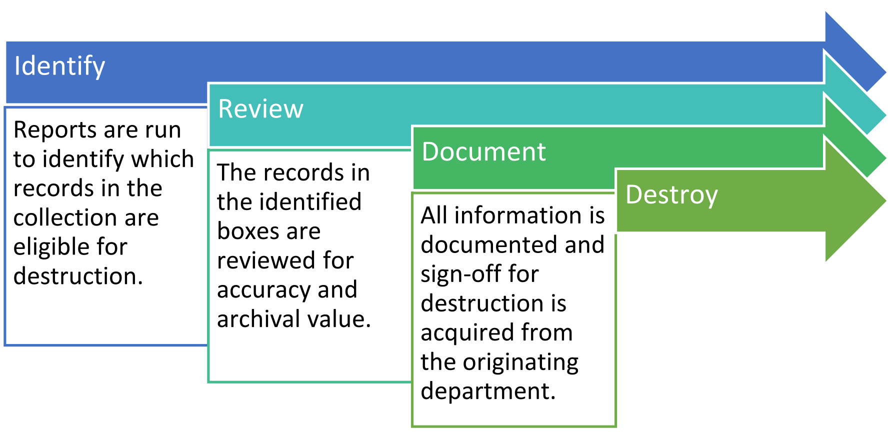
There are a small number of records that, according to the Records Classification and Retention Schedule, do not require transfer to the Inactive Records Centre. These records are maintained in their department of origin for their entire life cycle. However, these must still be destroyed as per legislative requirements, Sheridan's RIM policy and procedures, as well as with confidentiality and security in mind. As well, in order for the Department of Records and Information Management to maintain a complete audit of records destroyed, we must be provided with the listings of what has been purged in the departments – even if the records were never transferred to the Inactive Records Centre.

Departmental Destruction Step-by-step:

1. Identify records that have reached the end of their active retention but do not possess an inactive retention.
2. Create listings of the identified records using the File Transfer List.
3. Fill out a Records Destruction Notice in full and obtain the signature of the head of the relevant department.
4. Send all paperwork to be approved by the Department of Records and Information Management.
5. Department of RIM will review paperwork and will advise of destruction approval by scanning the signed Destruction Notice to the department.
6. Records may ONLY be disposed of in locked confidential shred bins. These bins can be ordered by contacting the Department of Records and Information Management x5584.
7. Once records have been purged, the Department of RIM will maintain the official paperwork permanently.

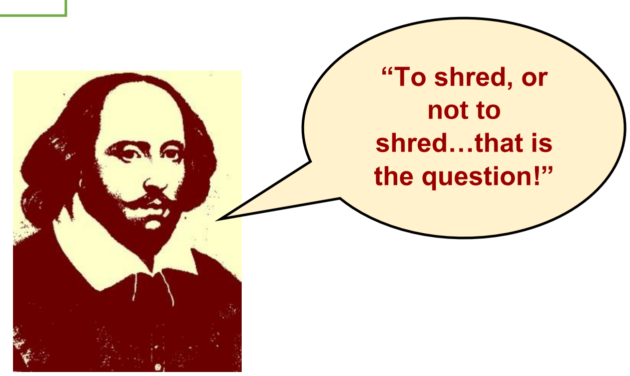
RECAP:

Records Destruction:



IMPORTANT:

It is critical that the Department of RIM maintains a complete inventory record of what has been destroyed in order to ensure that an audit trail is available tin the event of discovery or litigation.



Records Destruction Notice:

Sheridan **Records Destruction Notice**	Date of Notice
	Department of Records and Information Management
Responsible Department (Name & Location)	

Records Type (Include File Transfer Lists)		Date of Records	
	Box No.	From	To

PLEASE NOTE: Attach copy of Records Transfer List to this form (IF APPLICABLE).

Authorized Approval Signature	**Name**	**Date**

Retention Hold Explanation	Box No.	New Disposal Date

Department of Records and Information Management (Signature and Date)	**Volume Destroyed** **(cu. ft.)**

Method of Destruction: **Shred______ Recycle______**	Date of Destruction

Records and Information Management and Legal

In 2015, a decision was made to transfer Sheridan's Department of Records and Information Management from underneath the umbrella of I.T. Services to reside with the Office of General Counsel and Corporate Secretary. The relationship between legal and records is longstanding and cooperation between the two is critical to the reasonable governance of records and information at Sheridan.

There are a number of ways that RIM is a valuable legal tool:

- Freedom of Information
- Legal Holds
- Discovery / litigation
- Audit
- Compliance with legislation
- Evidential requirements

For information on the way in which cross-over occurs between the Office of the General Counsel and the Department of Records and Information Management, please see below.

Disposal of Confidential Information

Records created or received by Sheridan often contain confidential information such as social insurance numbers, home addresses and other personal information. In order to ensure that all Sheridan Records are disposed of in a responsible manner, their removal and destruction must receive special care.

Under no circumstances should Official Records or Copies be disposed of in regular blue recycling bins. Confidential shredding bins should be used for this purpose. Only transitory items may be disposed of in regular blue recycling bins.

What are confidential shredding bins?

In order to make the destruction of Records both convenient and reliable, the Department of Records and Information Management has made large confidential shredding bins available at all Campuses for the disposal of these Records. The containers are locked and their contents are shredded on a regular schedule. See the Records Management web site for the locations of the confidential shredding bins.

Confidential shredding bins can also be requested from Records Management for departments conducting file purges and needing to dispose of large quantities of confidential material.

How do I dispose of non-paper media?

Special requests for disposal of hard drives, plastics or other media will be handled separately and can be arranged with the Department of Records and Information Management.

Why are my records on "Hold"?

What is a legal hold?

A legal, or litigation hold, is when a record, or a number of records, are held back from their normal retention schedule as a result of the possibility of those records being required in a court of law. Present and future Records that are involved in litigation, or reasonably anticipated in foreseeable legal action, must be preserved until the Legal Hold is released by the Office of General Counsel.

Records scheduled for disposition must not be disposed of when records are:

- Relevant to a current or foreseeable litigation
- Responsive to a request made under FIPPA / PHIPA
- The subject of an audit
- Relevant to an internal appeal or investigation

If the content of a record is related to actual or pending litigation or government investigation, it may not be destroyed without the expressed permission of Sheridan's General Counsel. This restriction begins from the moment when any record user gains knowledge that legal action or a government investigation is reasonably foreseeable, and remains in effect until removed by General Counsel.
Any Sheridan employee who becomes aware of any litigation, threat of litigation, other legal action, or an investigation by any administrative, civil or criminal authority, through the receipt of notification or other information identifying the possibility of legal action or upon service of a summons and complaint, must immediately notify the Office of General Counsel. The Office of General Counsel will determine whether to initiate a Legal Hold, pursuant to established protocols.

Legal hold Step-by-step:

1. Identify records to be put on hold
2. Secure records
3. Contact the Office of General Counsel
4. General Counsel will advise of next steps

Other Types of Holds

There are a variety of other types of holds that you might come across however, please note that holds must be requested and will be accepted or denied based on the rationale given. It is important to remember that disposing of records at the scheduled time is just as important as keeping them for the allocated retention period.

Type of Hold	Description
Administrative Hold	A hold requested by a department who has an operational need to maintain the record for a longer period of time than the allocated retention. The hold will be once the need for the record has passed. These holds will be reviewed on a 6-month basis in order to ensure that we are not keeping unnecessary records.
Archival Hold	A hold that is placed on records that, once properly appraised, could comprise archival value. The hold will be lifted when archival value has been determined.
Audit Hold	A hold that is placed on records required for auditing purposes. The hold is lifted when audit has passed.
Destruction Hold	A destruction hold occurs when some kind of review is being performed on a specific record series). In this case,

	records destruction is put on hold pending the end of the review.
Financial Hold	A hold put in place as a result of an account that has been deemed outstanding. The hold will be removed once the account has been balanced.
Retention Hold	A hold set in place by the Department of Records and Information Management as a result of a classification code being re-evaluated. During the hold, no records of the series may be destroyed.

What is an Archive?

An archive is a repository of information that is quite different from, for instance, a Corporate Records Centre (or Inactive Records Centre). Archival Science is a field of inquiry that deals with records and information as traces or evidence of memory.[4] It evaluates the relative value of records, attempts to understand the meaning that is created by the records, and identifies whether or not it can improve the way in which people understand a particular subject. It has the capacity to provide an institution with a robust recorded history.

Sheridan's Corporate Archive program attempts to preserve Sheridan's rich past by carefully appraising and selecting records that enrich the understanding of the development of the institution.

The Department of Records and Information Management, in partnership with the Library, is committed to the preservation of Sheridan's institutional memory.

Transfer to Archives

Depending on the nature of the individual record, sometimes a decision will be made to transfer certain high-value records to the Corporate Archive. Sheridan's Corporate Archive. This is referred to as "accessioning" The Department of RIM attempts to preserve Sheridan's rich past by carefully appraising and selecting records that enrich the understanding of the development of the institution.

[4] Encyclopedia of Archival Science. Ed. Luciana Duranti and Patricia C. Franks. London: Rowman and Littlefield, 2015.

RIM FUN FACT:

The modern word “archive” is derived from the Latin, *archivum,* or Greek, *ta arkheion*, which translate to “public records” or more loosely, to the idea of “beginning, origin, first place” (Online Etymology Encyclopedia).

How do I know if my records hold archival Value?

Records that contain archival value are identified by an archival review flag in the Records Classification System. Normally, when the Department of Rim reviews records prior to their destruction, they ensure that a proper appraisal is done and that records holding archival value are pulled from the destruction and accessioned to the archive.

However, if the records in question do not have an inactive retention and are being purged by your department, the best way to ensure that no valuable items are destroyed is to abide by the Departmental Destruction Steps outlined above. When your paperwork destruction paperwork comes through the Department of Rim to be reviewed, RIM employees will identify whether your records require an archival review.

If you suspect that you have materials that could have archival value, please contact the **Department of Records and Information Management** at x5584.

Notes on Sustainability:

Sheridan is becoming well-known for its progressive attitude towards environmentalism and sustainability. Programming that ranges from Sheridan's Zero-waste Program to the Repair Café Sheridan positions the institution in the forefront of the commitment to environmental sustainability. The Department of Records and Information Management works closely with the Office for Sustainability to ensure we are doing our part.

Here are ways that you can help to reduce your Records and Information Management footprint:

- Don't print anything unnecessarily
- When you must print a document, try to ensure you use 2-sided printing
- When printing a presentation, print at least two slides per page
- Project agendas / minutes on screen rather than having participants bring a copy to meetings
- Use the phone rather than emailing – this will reduce the requirement to file later
- Review business processes to reduce unnecessary copying / printing
- Try printing only the pages of a document you need, rather than the full version
- Keep your shared drive organized to reduce digital space
- Use solid naming conventions to avoid duplication of information
- Turn off your computer monitor before you leave for the day

Helpful Terms:

Records Management Term	Definition
Access	The right or opportunity to, or means of, reading, copying, querying, finding, or retrieving recorded information.
Accountability	The responsibility to perform obligations based on legislation, policies, procedures, and other regulations – keeping in mind that information
Active Records	Records created or received in the course of Sheridan operations and that are regularly used to conduct day-to-day business. These records are maintained in the responsible / originating office for their entire active life and remain under the custody, responsibility and control of the generation area until change in disposition occurs.
Appraisal	The process by which a document is determined to have value of an enduring nature.
Archive	A space that selects, acquires, appraises, and maintains records of enduring and / or historical value. (Not to be confused with Inactive Records Centre – see below).
Classification	The process of classifying a thing or group of things according to a set of pre-determined characteristics or similarities.
Classification Code	An alpha-numeric code that identifies a record (ex: Accounts Payable = F02, Medical Charts = M02).
Creation	The moment at which a record comes into existence and begins its life cycle.
Description	Description, in this context, refers to the way in which an item is described for unique identification and retrieval purposes.
Destruction	Destruction is the process of destroying a record that has reached the end of its retention or lifecycle. This process is based on the approved Sheridan Records Classification and Retention Schedule (RCRS).
Disposition	Records disposition refers to the variety of ways that a records life-cycle can be finalized. Disposition can include transfer to inactive storage, destruction, transfer to archives, or permanent retention. Records scheduled for disposition and identified as having no long term value must be destroyed in a secure manner.

Functional Classification	A functional classification system classifies items according to their function which assists in creating classification codes that can be used by a variety of business units rather than just one.
Information Governance	A set of inter-connected policies, procedures, benchmarks, and controls that determine how information management will be supported by an organization.
Inactive Records	Inactive records are those that are no longer needed to conduct current business, but may be needed for infrequent consultation and must be maintained for a period of time according to Sheridan's Records and Information Management Policy.
Inactive Records Centre	An inactive records centre is a place where records are stored when they are no longer of day-to-day use, but have not yet reached the end of their mandated retention period.
Records and Information Management	Refers to the inter-related activities that determine the creation, distribution, use, maintenance, retention, and disposition of records in all formats.
Legal Hold	Legal holds supersede any and all Sheridan policies governing destruction of records, including the authority granted by approved retention scheduled.
Legislative Value	Refers to a record whose management is dictated by a piece, or pieces, or legislation.
Naming Convention	A set of rules that systematize the naming of like items which creates consistency and standards for records retrieval and storage.
Metadata	Is a set of data that gives information about other data (often used for retrieval purposes).
Operational Value	Refers to a record whose management may or may not have legislative value, but which is key to Sheridan's business practice, either day-to-day or long-term.
Personal Information	Personal Information is understood as per the Freedom of Information and Protection of Privacy Act to be "*recorded information about an identifiable individual*".
Record	A record, as defined in the Freedom of Information and Protection of Privacy Act, is *"any record of information however recorded, whether in printed form, on film, by electronic means or otherwise".*
Records Life Cycle	The life cycle of a record refers to the entire span of its existence all the way from creation of the record through to eventual disposal or preservation.
Records Retention Schedule	A retention schedule is a manual for how long to keep every type of record that Sheridan College generates. It includes

	the code, type of record, description and retention for each record series. For the full schedule, please see: https://it.sheridancollege.ca/RIM/.
Responsible Executive	Means the President or Vice-President who is designated to be responsible and accountable for the development, implementation, maintenance, and review of a Sheridan policy. More than one Responsible Executive may be designated for a particular policy.
Responsible Office	For the purposes of records and information management, the responsible office identifies the area or business unit that possesses the primary responsibility for a particular records class. For example, Human Resources is the responsible office for Position Descriptions.
Retention Event	Identifies when to trigger the record retention start time. For example, if a certain record has a CR + 1 retention (current year + 1 year), the event would be the end of the current year. If a record has a T + 2 (termination + 2 years) retention, the event would be the termination of a particular program, at end of employment, etc. Events Types: Creation (CR), Current Year (CY), Permanent (P), Superseded (S), Termination (T)
Security	Refers to the safety of Sheridan records in relation to: access control, authentication, effective incident detection, reporting, and solution, physical and virtual security, change management and version control.
User	A user is any employee of Sheridan or authorized contractor and / or agent who accesses, inputs, amends, deletes, extracts, and analyses records in order to carry out their day-to-day duties.
Unique Identifier	A unique identifier is a number, sign, or symbol that distinguishes a unit of information or record from all others.
Version Control	Version control is the act of managing the various versions of documents that are created in preparation of a final draft (ex: contracts).
Vital Records	Those records that are critically required in order to conduct business (ex: student records).

Appendix 1:
Records Classification and Retention Schedule
(RCRS)

ADMINISTRATION

Includes administrative records required for routine operations, such as printing records management, computer systems and telecommunications, general correspondence, and other documentation supporting College communications.

A00 Administration - General

A01 Associations / Societies / Commissions

A02 Councils - Internal

A03 Councils - External

A04 Committees - Internal

AO5 Committees - External

A06 Task Forces

A07 Faculty / Staff Meetings

A08 Boards of Education / High Schools

A09 Community Colleges / Universities

A10 Community Agencies / Services

A11 Company / Industry / Employer Files

A12 Printing

A13 Record Destruction Certificates

A14 Records Management

A15 Computer / Information Systems

A16 Computer / Technical Information

A17 Telecommunications

B BUILDING/EQUIPMENT

Includes records regarding the development, maintenance and operation of College property, grounds, vehicles and equipment.

B00 Building / Equipment - General

B01 Building and Grounds Maintenance

B02 Floor Plans / Space Requirements

B03 Security

B04 Capital Projects

B05 Athletic Field and Gymnasium Rental

B06 Vehicles

C COURSE/CURRICULUM/PROGRAM

Includes records required for the design, planning and implementation of College and sponsored courses and programs. Also includes curriculum or program support, for example, library and audio-visual resources, course handouts, tests, etc.

C00 Course / Curriculum / Program - General

C01 Program Proposals and Development

C02 Direct Purchase Programs/Sponsored Programs

C03 Program Descriptions

C04 Course Information

C05 Course Program Handouts

C06 Evaluation of Student Work

C07 Room Allocation Timetables

C08 International Education Files

C09 Accreditation Support Records

C10 CAD/CAM Institute

C11 Library

C12 Field Trips

C13 Festivals/Competitions

C14 Sponsored Projects

F FINANCE

Includes records regarding financial management and budgeting, accounting, purchasing, investments, enrolment funding and tuition payments.

F00	Finance - General	**F14**	Purchase Orders
F01	Signing Authorities	**F15**	Standing Agreements
F02	Accounts Payable Invoices	**F16**	Expense Accounts
F03	Fixed Assets Invoices	**F17**	Reserved For Future Use
F04	Audit	**F18**	Parking
F05	Bank Reconciliations	**F19**	Taxes
F06	Banking	**F20**	Cheque Registers
F07	Reserved For Future Use	**F21**	Collections / NSF / Stop Payments
F08	Budget	**F22**	Accounts Receivable Invoices
F09	Financial Statements	**F23**	Enrolment Audit
F10	Chargebacks	**F24**	Tuition Payment Files
F11	Inventory	**F25**	Reserved For Future Use
F12	Investment/Trusts	**F26**	Reserved For Future Use
F13	Journal Vouchers	**F27**	Refunds

H HUMAN RESOURCES

Includes records required for the administration of personnel issues, for example, recruitment, benefits, payroll and professional development. Also includes grievances, strikes and union documentation.

H00 Human Resources - General

H01 Recruitment

H02 Position Descriptions

H03 Personnel/Payroll Files

H04 Benefits

HO5 Workers Compensation Assessment

H06 Workers Compensation Claims

H07 Staff / Faculty / Seniority Lists

H08 Standard Workload Inventory Forms

H09 Attendance

H10 Retirement/Pension

H11 Professional Development

H12 Human Resource Projects

H13 Employee Disability Files

H14 Salary / Payroll

H15 Grievances

H16 Strikes

H17 Union

H18 Non-Union

H19 Human Rights and Harassment

H20 Employee Assistance Program

H21 Reserved for Future Use

H22 Workers' Compensation Occupational Health & Safety Acts

H23 WCA/OHSA Annual Summaries

H24 VPs Meeting Notes

L LEGAL / GOVERNMENT AFFAIRS

Includes records regarding legal matters such as contracts, agreements, deeds, leases and insurance. Also includes government or regulatory information.

L00 Legal / Government Affairs - General

L01 Contracts / Agreements/Warranties

L02 Personnel Contracts / Agreements

L03 Direct Purchase / Government Sponsored Agreements

L04 Land Use and Environmental Records

L05 Leases

L06 Insurance

L07 Liquor Licenses

L08 Municipalities / Cities / Towns

L09 Ministry of Colleges and Universities

L10 Litigation

L11 Other Ontario Ministries, Agencies, Boards and Commissions

L12 Federal Government, Departments, and Agencies

L13 Acts / Regulations

L14 Permits, General

L15 Permits, Environmental

L16 Trademark / Copyright

L17 Waivers of Liability

L18 Consent to Use of Image

M MEDICAL / HEALTH

Includes records related to health and safety issues and documentation supporting health services, the sports injury clinic and the esthetics clinic at the College.

M00 Medical / Health - General

M01 Health and Safety

M02 Client Health Records

M03 Nurse's Daily Record

M04 Medical Directives / Orders

M05 Esthetics Clinic

O ORGANIZATION / PLANNING

Includes records related to the organization and structure of the College, its mandate, objectives and strategic plans. Also includes information on the Board of Governors.

O00 Organization / Planning - General

O01 Policies / Procedures

O02 Annual Report

O03 Organization

O04 Board of Governors

O05 Strategic Planning

O06 Program Review

O07 Freedom of Information

O08 Employment Equity

O09 Pay Equity

O10 Race Relations

O11 *For Future Use*

O12 Operational Review

P PUBLIC RELATIONS/MARKETING

Includes records regarding the College's marketing efforts to the public and the production and distribution of College publications and news releases. Also includes special events.

P00 Public Relations / Marketing - General

P01 Market Research

P02 Articulation

P03 Student Recruitment

P04 Speeches / Speaking Engagements

P05 Prospects

P06 Mailing Lists

P07 Media / News Releases

P08 Newspaper Clippings

P09 Advertising

P10 Photographs

P11 Publication / Newsletters

P12 Special Events

P13 Convocation

P14 Development and Fundraising

S STUDENT RECORDS

Includes records required to admit, register, grade and track College students in all programs. Also includes financial assistance, co-op/employment records and awards.

S00 Student Records - General

S01 Admission and Registrations Reports

S02 Permanent Student Record

S03 Financial Aid Administration

S04 Financial Aid / Loan Files

S05 Financial Aid Verifications

S06 Financial Assistance to Non-Ontario Residents

S07 Ontario Work/Study Program

S08 In-Process Registration Materials- Short Term

S09 In-Process Registration Materials- Longer Term

S10 Applicant Information

S11 Co-op / Employment Student Files

S12 Employment Statistics

S13 For Future Use

S14 Appeals

S15 *Reserved for Future Use*

S16 Awards

S17 Diplomas / Certificates

S18 Transcript Requests

S19 Career Employment & Preparation Program (Futures) Clients

S20 Prior Learning

S21

Z STUDENT ACTIVITIES/SERVICES

Includes records relating to student activities and/or student services which also form a part of student life at the College, for example, student activity council, counselling, daycare, housing, athletics and alumni affairs.

Z00 Student Activities / Services General

Z01 Inter Campus Student Corporation

Z02 Housing Registry

Z03 Theatre Sheridan

Z04 Daycare Centres

Z05 Accommodation Records

Z06 *Reserved for Future Use*

Z07 Tutoring

Z08 Player Eligibility Files

Z09 Varsity Sports

Z10 Intramural Sports

Z11 Instructional / Recreational Sports

Z12 Alumni Sports

Z13 Alumni