UBC Social Ecological Economic Development Studies (SEEDS) Student Report

Assignment 3: The Records Management Challenge

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Introduction

Records management is a constantly changing field that reflects the evolution of the methods used within the profession, and records managers must perpetually find balance between multiple competing factors. Some of the more traditional concerns within the profession include practical matters such as deciding which records to keep and which ones to destroy, the physical space required to house repository contents, and working within the legal framework of privacy rights and the right to access information.

Adding to the above-noted matters are the constantly changing landscape of computer technologies and an increasing awareness about issues of environmental sustainability. In terms of technologies, records managers must strive to determine whether newer methods actually provide improvement over traditional methods, keeping the ideas of best practices and international standards like ISO 15489 in mind. Similarly, increasing concerns over environmental protection have an effect on contemporary records management practices. Finding methods that minimize harmful impact on the environment are also becoming important concerns in this profession.

The sustainability initiative at the University of British Columbia (UBC) is known as UBC SEEDS (Social, Ecological, Economic, Development Studies). SEEDS has partnered with UBC Records Manager Alan Doyle in the development of a research survey distributed to Records Managers at a sample of North American and British post-secondary institutions. The survey is being used to examine the extent, priority, and scope of records management at each of the participating institutions, as well as to explore the relationship that exists between records management and other university units and staff - namely, information technology and any

existing sustainability initiatives. This report examines the results of the surveys from the records management programs at UBC and McGill University, Montreal.

Overview of the University of British Columbia Records Management Program

The University of British Columbia is a public institution, supported by the province of British Columbia. UBC Records Management Services are offered by UBC University Archives, which is staffed by 3 professional archivists and 2 support staff. The University Archivist is Christopher Hives, and as previously stated, the Records Manager is Alan Doyle; who reports to the University Archivist. Mr. Doyle, a professional archivist, is the only identified records management staff at UBC.

The Records Management Program

UBC is fortunate to have a formal records management program; the University follows a campus-wide mandate for managing records. However, UBC does not have a campus-wide mandate for e-records management. There is currently a plan in progress for developing a formal e-records management program, yet the acceptance of this program is dependent on the University's budget. Moreover, Records Manager Alan Doyle has stated that his relationship with the Information Technology (IT) department at UBC is "distant" at best (see Appendix A, Question 21). The records management budget is controlled by University Archives; this budget is dedicated to salary but does not provide a proper operational or discretionary allocation for the program.

The records management program does not provide storage facilities for campus units or departments, and currently does not have other centralized services to help University departments manage their records.

Mr. Doyle has stated that the only major stakeholder in the program is the University Archives; no other department or stakeholders have been present for this particular program.

Records Management Policies and Procedures

UBC has developed a University policy related to records management; this policy is referred to as University Policy #117. University Policy #117 was created in order to:

> Ensure that the University's Records are created, managed, retained, and disposed of in an effective and efficient manner;

> Facilitate the efficient management of the University's Records through the development of a coordinated institutional Records management program;

> Ensure preservation of the University's Records of permanent value; and

> Support both protection of privacy and freedom of information services throughout the University. (Board of Governors, "Policy No.: 117" 1-2)

These records management policies and procedures were created and developed by the Legal Counsel and Freedom of Information Manager. According to Mr. Doyle, the Legal Counsel is named in University Policy #117 as being responsible for the approval of records schedules. Unfortunately, he further states that this relationship has not worked the way it was intended to upon its inception. *Why?*

The UBC records management program also has a sustainability policy known as University Policy #5; one of the main goals of this policy, as directly stated within, is "to assume a leadership role through practising sustainable development and instilling sustainable development values in its graduates and employees, through research, teaching, and operations" (Board of Governors, "Policy No.: 5" 1). Furthermore, the Sustainability Office/Department compiles research on common areas of interest related to the management of information on the UBC Campus.

Records Manager Goals and Priorities

According to Mr. Doyle, he believes that the most important issues in records management are to develop appropriate retention for the purpose of the security, time periods and formats of University records. Moreover, he states that the most important issues in relation to the management of records in specific departments and units are storage, retrieval and records storage.

Conclusion

Understanding how the University of British Columbia's records management program works will help us to compare the results with our assigned institution for this sustainability project - McGill University. In our next section we will look at the survey results provided to us by McGill University's records manager Lori Nordland. Ms. Nordland informed our team that she distributed the survey to various units within the records management department in order to provide us with the most accurate and reliable information possible.

Survey Results (Overview of the McGill University Records Management Program)

This section of the report contains a written summary of the UBC SEEDS survey

responses as provided by Ms. Nordland of McGill University in Montreal, Quebec. She holds

the title of Manager of Archives and Records at the McGill University Archives (MUA). The

source material of this summary can be found attached to this report as Appendix B, on pages

27-31.

Overview of Institution

McGill University is a publicly funded postsecondary institution. It is predominantly

funded via federal and provincial government monies. Other funding sources include private

donations, endowments, research grants, and student tuition fees. At present, there are more than

35,000 students enrolled at the institution, with full-time enrolment (FTE, combined graduate

and undergraduate numbers) currently equalling 27,764 (McGill University, "About McGill:

Students").

Records Management at McGill: Policies, Advisory, and Budget

McGill University has specific policies that govern the archival work conducted by and

for the university. These policies, known as the McGill University Archives Terms of

Reference, were approved by the Executive Committee of the McGill Board of Governors on

January 17, 2005 (Executive Committee, McGill Board of Governors 1). The Terms of

Reference outline a variety of relevant roles, responsibilities, and definitions that pertain to

MUA. These categories are as follows: Mission Statement, Role and responsibilities of McGill

University Archives, McGill University Archivist, Records management, McGill University Archives Acquisition Policy, Definition (of a record), and a General category.

University policy for Records management is included in the Terms of Reference that govern MUA as a whole. Section 4 of the Terms of Reference specifically addresses records management at the institution, and covers the McGill University Records Retention Schedule (MURRS), the records-related responsibilities of the heads of each unit, and the records-related responsibilities of McGill employees. The campus-wide mandate for records management is governed by MURRS. The Terms of Reference also include a campus-wide mandate for the management of e-records. As well, McGill University is also in the process of developing a trusted digital repository, known as the *digital*permanence initiative.

There is no campus-wide oversight/advisory committee and no dedicated budget for records management. The budget for records management is included with the overall budget of the McGill University Archives, and covers both historical records and records management. This budget is controlled by the Director and University Archivist and is approximately $500,000 (which is predominantly used for salaries), and does not include accommodation and capital. MUA offers records storage facilities for campus units. It also offers other centralized services, such as Content and Collaboration Solutions for digital content.

Records Management Staff

At McGill University Archives, there are 7 permanent employment positions: 4 professional archivists (comprised of 1 director, 2 manager, and 2 archivists), 1 office administrator/coordinator and 2 clerks. At this time, there is also 1 casual employee. Theresa Rowat is the head archivist at MUA. She holds the position of Director and the University

Archivist, and reports directly to McGill's Secretary-General. From the MUA website, the current list of staff is listed below.

McGill University Archives Staff	
Theresa Rowat	Director and University Archivist
Lori Podolsky Nordland	Manager, Archives and Records
Gordon Burr	Senior Archivist, Collections Management/ Digital Services
Aaron Spreng	Archivist, Records Analyst
Jean-Marc Tremblay	Project Archivist
Bruce Dolphin	Records Processing Clerk
David Poliak	Records Management Clerk
Mary Houde	Administrative Coordinator, Reference Assistant

(McGill University Archives, "Staff Directory").

McGill University has one Records Manager. As noted, Ms. Nordland holds the position of Manager of Archives and Records. She reports to the Director and University Archivist, Theresa Rowat. The records management staff consists of the same work team that exists for the University Archives: all staff provide both archival and records management functions.

Identified Stakeholders

The identified stakeholders of the McGill records management program are the staff in the units who are implementing records management, the Secretary-General (especially from the perspectives of governance and accountability), the Chief Information Officer (IT), senior administration staff of the institution, McGill University Archives staff, and the administrative and teaching staff of the academic faculties. At McGill, the current records management policies and procedures pre-date the current staff. Additional research activities would be required to accurately assess who was included in the development of the existing policies and procedures.

Relationship with other University Departments

In regards to a relationship with Information Technology staff (IT), McGill University Archives provides advisory services related to electronic content, and is a key stakeholder in the management of content. MUA are currently partnered with IT for the implementation of a university-wide content management system - the *digital*permanence initiative, already mentioned above. MUA provides records management services to the institution's Legal Services unit, and consults regularly with them on "legal matters pertaining to archives and records management, and client-service related issues (e.g. access, confidentiality)" (see Appendix B, Question 24). MUA staff also conduct "research and analysis using University records to support Legal Services activities" (see Appendix B, Question 24).

McGill University Archives offers record retention training to other staff/units on campus. Due to constraints on resources, training is usually initiated by the unit in question (as opposed to holding regular training sessions that university staff/units can sign up for). The publicizing of McGill records management is accomplished through the Archives website and by having records analysts liaise with various campus units. This liaison is done via a portfolio approach; each analyst is responsible for particular campus units.

Important Issues

Ms. Nordland identifies accountability, compliance, storage and retrieval of information as the most important issues in records management. From the perspective of various department/units, the most important issues are storage, version control of documents, collaboration, the sharing of information, and the protection of confidential information. In terms of the most frequent types of records management-related requests from departments,

McGill University Archives receives the most requests for the transfer of semi-active records to the repository and for retrievals of files from repository holdings.

Sustainability

McGill University houses an Office of Sustainability and also has a specific Sustainability policy. The Office of Sustainability does not produce statistics related to the management of information at McGill. However, McGill University Archives does generally centralize paper destruction and also keeps statistics on the amount of paper destruction that occurs. MUA is in the beginning stages of developing "green" initiatives. Working with University Services and Facilities, MUA is currently looking at ways to "green up" some records management processes - particularly concerning the destruction of paper (see Appendix B, Question 34). These activities include the examination of procurement requirements that are related to the "selection of vendors," and also examining "how vendors can assist in reducing the carbon footprint" (see Appendix B, Question 34).

In the next section of the assignment, we will be comparing McGill University's records management program with the one we have here at UBC.

Comparison of the McGill University Program with the UBC Program and ISO 15489

Both records management programs at McGill University and UBC do generally follow the best practices of Part 1: General and Part 2: Guidelines of the International Standards Organization's *ISO 15489: Information and Documentation - Records Management International Standard.* This section of the report will compare how the McGill University Archives and UBC Records Services adopt ISO 15489 in their records management programs,

based on information from each university's internal policies and the results from the UBC

SEEDS surveys (see Appendix A and B for survey results).

Background on ISO 15489 and Its Use by McGill and UBC

In general, ISO 15489 is applied to the management of both electronic and paper records

"created or received by any public or private organization in the conduct of its activities, or any

individual with a duty to create and maintain records" (International Standards Organization,

15489-1 1). The standard is written in a high level manner, with Part 1 being quite general and

Part 2 providing slightly more detailed guidelines. Although not the case with the similar

programs at McGill and UBC, the high level nature of the standard means that it may

occasionally be adopted differently by some records management programs. As mentioned by

Jean Dryden in the *Journal of Archival Organization*, this high level approach is not a fault in the

standard, as it means that ISO 15489 can easily be implemented by various organizations and

"can be used by those who think of records in terms of a life cycle," like UBC and McGill, "as

well as those who think in terms of a continuum" (95).

Both UBC's and McGill's records management programs follow the general procedures

of ISO 15489, however, in terms of actual references to the standard only UBC's Records

Management Manual specifically states that it follows ISO 15489 (University Archives 6). In

contrast, the Terms of Reference of MUA state that their "records management services includes

the management of records created and/or accumulated by the University through their life cycle

[…] and long-term preservation or destruction in accordance with […] international archives and

records management standards" (Executive Committee, McGill Board of Governors 1). By

mentioning that the university follows the best practices of international records management

standards, it can be inferred that McGill's records management program follows ISO 15489;

however, other international standards for this do exist, such as the older Australian standard AS

4390, which ISO 15489 is "based on" (Dryden 94).

How Part 1 of ISO 15489 is Adapted by McGill and UBC

Part 1 of ISO 15489, which is divided into 11 sections, describes the general principles of

working records management programs. As Part 1 is high level in its descriptions, it can more

easily provide a background for comparing UBC and McGill's records management programs

than the guidelines offered in Part 2's Technical Report. Section 1 describes the scope of the

project as providing "guidance on managing records of originating organizations, public or

private, for internal and external clients" (ISO, *15489-1* 1). As publically funded organizations

who maintain records for both internal university use and for researchers, McGill and UBC's

records management programs fall under ISO 15489's demographic. In relation to both their

roles as publically funded organizations, Section 5 discusses regulatory environments and states

that "all organizations need to identify the regulatory environment that affects their activities and

requirements to document their activities" (ISO, *15489-1* 4). This obligation is mentioned in

UBC's Records Management Manual and McGill's Terms of Reference, as both must follow all

relevant and sector-specific Provincial and Federal legislations in their programs.

The policies and responsibilities that records management programs must adhere to are

discussed in Section 6, which states that any organization seeking to confirm to ISO 15489

should "establish, document, maintain, and promulgate policies, procedures, and practices for

records management to ensure that its business need for evidence, accountability and information

about its activities are met" (ISO, *15489-1* 5). In addition to following the legislations and

policies of their regulatory environments, UBC and McGill both follow specific organization-based policies. UBC adheres to the school's internal University Policy #117, which is specifically directed towards records management, and McGill's policies are listed in their Terms of Reference, the McGill University Records Retention Schedule (MURRS) and in the *digital*permanence (electronic record) protocols. As seen in the results of the survey, these policies and responsibilities are made known to employees and members of both universities through the websites of their respective Archives Departments, and also through education sessions.

Section 7 describes the general requirements for records management programs and Section 8 explains the principles for the design and implementation of a complaint records system. Section 8 suggests that "records management strategies should be documented in a strategic plan […] which should be incorporated into organization-wide planning documentation" (ISO, *15489-1* 8). The incorporation of these strategies at an organization-wide level can be seen in UBC's University Policy #117, which states that its records management polices "applies to all department and administrative units of the University, to all Records, and to all University officers and employees who create, receive or maintain Records in the course of their duties on behalf of the University" (Board of Governors, "Policy No.: 117" 1). Likewise, McGill's Terms of Reference also requires all University employees "to ensure the security and management of records while in their care" (Executive Committee, McGill Board of Governors 2). Further instructions on an organization-wide basis are explained in the retention schedules of both universities, which ensure the reliability and integrity of their records systems. Moreover, McGill University has also developed an organization-wide program for e-records called *digital*permanence, which describes transfer and access protocols for handling electronic

documents. According to our survey results, UBC is currently in plans to develop an e-records program.

Records management processes and controls are discussed in Section 9, including sub-sections on how to retain (9.2), capture (9.3), register (9.4), classify (9.5), store and handle (9.6), access (9.7), track (9.8), dispose (9.9), and document (9.10) records. Both universities' records management systems aim to meet several of the principles in section 9.2 regarding records retention. McGill and UBC both make sure to "comply with legal requirements" in their retention of records and keep records that "contribute to the building of [their] organization's memory for scientific, cultural and historical purposes" (ISO, *15489-1* 12). As mentioned by Mr. Doyle and Ms. Nordland in the surveys, the latter is particularly important to both records management programs as they belong to larger University Archives with mandates to preserve documents of specific importance to each University's heritage and institutional memory. In relation to retention procedures, the Universities also implement similar disposition schedules to those mentioned in Section 9.9. Importantly, both Universities' records management programs are concerned with the security and protection of confidential information, including Personal Information Protection Act (PIPA) regulations for UBC. This is mentioned under the Section 9.9 principle that "records should be carried out in a way that preserves the confidentiality of any information they contain" (ISO, *15489-1* 16).

The final two sections of Part 1 of ISO 15489 are Section 10, monitoring and auditing, and Section 11, training. Section 11 is relevant to the records management programs at both Universities, as McGill and UBC offer in unit training sessions for employees. However, the training section may be of more importance to McGill, as they have more records management employees than UBC's program, which is comprised only of Mr. Doyle. More in-depth

suggestions for employee management, responsibilities, and training are discussed in Part 2 of ISO 15489.

How Part 2 of ISO 15489 is Adapted by McGill and UBC

Part 2 of ISO 15489 is a Technical Report and offers more definite guidelines for implementing a records management system than Part 1 of the standard. As Part 2 is more specific in regards to the formation of records management programs, it is harder to compare the brief answers from the surveys and the general publicly available information on UBC and McGill's records management programs with the principles of the standard. It is also important to note that UBC's Records Management Manual specifically mentions only following Part 1 of ISO 15489 (University Archives 6). Sections on security and access classification schemes (4.3.5), storage (4.3.7), and digital storage (4.3.7.3) would be useful for both UBC and McGill to review, as each section gives guidance on issues such as e-records and on-site and off-site storage space, which they both mentioned in the surveys as either having struggles with or wanting to develop more in their programs.

Conclusion

Part 1 of ISO 15489 offers a solid framework to compare the records management procedures and manuals of McGill and UBC. The sections of the standard on regulatory environments, policy and responsibility, and processes and controls in Part 1 are particularly relevant to both McGill and UBC's records management programs. Part 2 of ISO 15489 offers useful guidance for both universities in the further development of their programs. A reflection

on Section 4 of ISO 15489, Part 1 in regards to the whole assignment will be discussed in the next section, along with the group's overall reflections on the surveys and assignment.

Personal Reflections of the Records Management Survey Experience

Having completed this assignment and had the opportunity to learn about the experience of being a records manager and the role that the position requires, we as a team have come to appreciate the importance of maintaining a strict set of records retention policies and procedures. By maintaining these policies, both UBC and McGill benefit from an organized and structured records system that keeps their documents safe. For the purpose of this final reflection, we will briefly touch on our experience in communicating with Ms. Nordland; understanding the personal perspectives of both Mr. Doyle and Ms. Nordland as they relate to records management; learning how Section 4 of ISO 15489-1 aligns with the benefits that UBC and McGill's records management systems provide to their respective institutions; and finally areas where the two programs diverge.

The McGill Records Manager

Our experience communicating with Ms. Nordland was entirely a positive one; Ms. Nordland was more than happy to respond to our messages quickly and seemed to take a genuine interest in ensuring we received all of the information we needed to complete this assignment. Her enthusiasm was evident in the sense that it was not only her answering the questionnaire, but also all of her colleagues within her institution. When Ms. Nordland felt there was another division of her institution that could better answer one of our questions, she went to the extra length to give us the most accurate answer possible. For this reason we are very appreciative of

the work she put in, and feel that we are fully informed on McGill's records management policies and procedures.

The Records Manager Point of View

It was surprising and pleasing to discover that both Mr. Doyle and Ms. Nordland have similar views on the most important issues surrounding a records management institution with respect to the storage and retrieval of records. The two align so far as to have identical views on records storage in relation to particular units and departments needing appropriate storage practices, and storage and retrieval of records on the institutional level. This similarity in viewpoints demonstrates to us that the storage and retrieval records on both an institutional scale and a departmental/unit scale are the most important factors within a records management program. We were curious about the other students and how their records management institutions responded to this question – and if they align with the responses of Ms. Nordland and Mr. Doyle. Furthermore, Mr. Doyle and Ms. Nordland's current commitment to sustainability and its future implementation is a testament to their execution of best practices in the world of records management.

ISO 15489-1 and the Benefit of Records Management Policies

After hearing from both Mr. Doyle and Ms. Nordland, and learning about the UBC and McGill records management policies and procedures, it was reassuring to discover that their practices do indeed align with the ISO standards and, as a result, other best practice models discussed in lectures such as ARMA International's Generally Accepted Recordkeeping Principles (GARP). Importantly, Section 4 of ISO 15489-1 is implemented to demonstrate the

benefits of maintaining appropriate records management practices; both UBC and McGill clearly follow the standards' practices in order to achieve a certain level of records management. As stated in Section 4, maintaining a strict records management program allows for an institution to: conduct business in an orderly, efficient and accountable manner, deliver services in a consistent and equitable manner, provide consistency, continuity and productivity in management and administration, facilitate the effective performance of activities throughout an organization, and protect the interests of the organization and the rights of employees, clients and present and future stakeholders to name a few (ISO, *15489-1* 4).

Areas of Divergence

There were also some areas where Ms. Nordland and Mr. Doyle (and hence, likely their respective departmental units as well) differed in their approaches. One notable difference was the way in which each responded to the idea of stakeholders in records management. Ms. Nordland seems to a take a more global and inclusive perspective in the idea of stakeholders: she identified not only MUA/records management staff as stakeholders, but the wide range of people at the university who create, use, and may derive benefit from records creation, retention and management. In contrast, Mr. Doyle only identified UBC's University Archives as a major stakeholder for records management at UBC. It would be interesting to further explore this difference in response, the possible reasons behind it, and how it affects the way records management staff interact with other university departments.

The survey responses from McGill and UBC also differed in their reported relationships to other university departments. Ms. Nordland reported relationships with other departments that appear to be both more active and more productive. For example, she reported a clear and

detailed response in regards to MUA's relationships with both IT and Legal services (see Appendix B, Questions 21 and 22). In contrast, Mr. Doyle reported that the relationship with IT is lacking or non-existent, describing it only as "distant" (see Appendix A, Question 21). As well, he noted that that the policy that governs the relationship between UBC Legal Services and Records Services "has not worked as expected" but provide no further information about how or why this breakdown has occurred (see Appendix A, Question 22). Another noted area of difference with interdepartmental interactions at both universities is the relationship between records management and the way in which each university's records management departments approach a relationship to campus sustainability initiatives. According to Mr. Doyle, there is not a lot of daily interaction between the two offices (see Appendix A, Questions 31 and 32). However, they collaborate on projects of mutual interest (such as the study that is the subject matter of this report). In contrast, Ms. Nordland does not report any specific joint initiatives between records and sustainability staff. Nevertheless, she does report that at McGill, MUA is in the beginning early stages of incorporating sustainability into its routine procedures and practices. However, she does not specifically address whether this is a joint project between the offices, or the degree of inter-office communication that occurs to achieve these goals (see Appendix B, Questions 34).

Conclusion

To conclude, this assignment has exposed our team to the importance and benefits of records management. Without a records management program, an institution could not function in a way that would allow it to execute good business practices. Moreover, maintaining strict policies in relation to retention schedules, storage and retrieval systems, and maintaining

accountability for security purposes ensures that an institutions' records are kept organized and safe throughout their life cycle.

By completing this assignment we feel confident that we have helped contribute to the sustainability and development of UBC's records management program while learning about McGill's records management practices in the process. Our experience in communicating with both Mr. Doyle and Ms. Nordland has been very positive and as a result has encouraged us to strive to become more involved with records management in the future.

Appendix A

UBC SEEDS Survey Response from Alan Doyle, Records Manager, University of British Columbia. Online interview. 4 Nov. 2010.

1. Is your institution state-supported or private?

State (province) supported public institution

2. What is the size of your institution? (Number of students: FTE)

Approx 45,000 students, 14,500 staff/faculty

3. Does your institution have an archivist?

Yes – Christopher Hives

4. To whom does he/she report?

AUL, Collections

5. How many employees (FTE's) constitute Archives staff? How many professionals? How many clerical?

3 professionals (archivists) and 2 support staff

6. If your institution does not have an archivist, who manages campus records deemed archival?

N/A

7. Is there a Policy related to Archives? Origin of the policy? (Is it University, Library, Departmental, other?)

Yes –University Policy #127 - http://universitycounsel.ubc.ca/files/2010/08/policy127.pdf

8. Does your institution have a records manager?

Yes – Alan Doyle

9. To whom does he/she report?

University Archivist

10. How many employees (FTE's) constitute Records management staff? How many professionals? How many clerical?

1 professional (archivist)

11. If your institution does not have a records manager, how does your institution manage active and semi active records?

N/A

10. Is there a University Policy related to Records management? Origin of the policy? (Is it University, Library, Departmental, other?)

Yes – University Policy # 117 - http://universitycounsel.ubc.ca/files/2010/08/policy117.pdf

11. Does your institution have a formal records management program?

Yes

12. Is there a campus-wide mandate for records management? Is there a campus-wide mandate for e-records management?

Yes and no.

13. Is there a campus-wide oversight/advisory committee? If so, who is involved?

There was – see http://www.library.ubc.ca/archives/uarmac.html

14. Is there dedicated budget for Records management?

Yes, salary but no operating or discretionary.

15. Who controls the budget for records management?

University Archives

16. How much is the budget?

Salary publically available through UBC.

17. Does your institution provide records storage facilities for campus units?

No

18. Does your institution have other centralized services to help departments manage records?

No

19. Who are the major stakeholders in the records management program?

The only current stakeholder in the records management program is the University Archives.

20. Who was included in developing the records management policies and procedures?

Legal Counsel, Freedom of Information Manager

21. What is your relationship with IT?

Distant

22. What is your relationship with legal counsel?

Legal Counsel is named specifically in the RM Policy as one of the approvers of records schedules. The policy has not worked as expected.

23. If your institution does not have a formal e-records management program, is there one in the planning stages?

Yes, but budget dependent

24. Do you conduct training for staff/units on campus? (describe)

Yes – "in unit" sessions, as well as co – presentations with Freedom of Information Officer (which are open to all University staff/faculty)

25. Do you publicize your program? (if so, how and to whom?)

Only via Archives website and to list serves when notifying of upcoming education sessions

26. What do you consider to be the most important issues in records management?

Appropriate retention (security, time period, format) of University records.

27. What are the most important issues to departments/units?

Storage, retrieval, institutional memory

28. For which services do you receive the most requests from departments/units?

Records storage

29. Is there a Sustainability Office/Department at your institution?

Yes

30. Is there a Sustainability Policy at your institution? Origin of the policy? (Is it University, Library, Departmental, other?)

Yes – University policy #5 - http://universitycounsel.ubc.ca/files/2010/08/policy5.pdf, but also as a central pillar in the most recent strategic plan - http://strategicplan.ubc.ca/

26

31. Does the Sustainability Office/Department produce statistics related to the management of information on campus?

Not formally, but does research (including this survey) into areas of common interest.

32. Is the Records management Office or Archives currently involved in any efforts to reduce environmental impact of information management? Please describe these efforts.

SEEDS/Records management Survey – ARST 516

Appendix B
UBC SEEDS Survey Response from Lori Nordland, Records Manager, McGill University. Online interview. 12 Nov. 2010.

1. Is your institution state-supported or private?

McGill University is largely publicly funded through federal and provincial government sources. A variety of other funding sources include donations from private donors, endowments, research grants and student tuition and charges.

2. What is the size of your institution? (Number of students: FTE)

More than 35,000 - (http://www.mcgill.ca/about/quickfacts/students/

3. Does your institution have an archivist?

Yes - http://www.archives.mcgill.ca/about/about_staff.htm

4. To whom does he/she report?

The McGill University Archives reports directly to the Secretary-General - http://www.mcgill.ca/secretariat/. The head of the MUA is the Director and University Archivist, and reporting directly to this position is the Manager, Archives and Records.

5. How many employees (FTE's) constitute Archives staff? How many professionals? How many clerical?

7 permanent positions: 2 clerks, 1 assistant, 4 professional archivists (comprised of 1 manager, 2 working level archivists, 1 director.) We also have occasional casual employees (one at this time).

6. If your institution does not have an archivist, who manages campus records deemed archival?

Not applicable

7. Is there a Policy related to Archives? Origin of the policy? (Is it University, Library, Departmental, other?)

General info about policies - http://www.archives.mcgill.ca/about/about_policy.htm

8. Does your institution have a records manager?

Yes. One records manager (management level).

9. To whom does he/she report?

Reports to the Director and University Archivist

10. How many employees (FTE's) constitute Records management staff? How many professionals? How many clerical?

We have the Director and University Archivist (Senior Management); 1 Manager, 2 permanent archivists/records analysts, 2 permanent clerks, 1 office administrator/coordinator. We also have 1 casual employee. Our staff is responsible for both archival and records management roles. All employees provide both archival and RM functions.

11. If your institution does not have a records manager, how does your institution manage active and semi active records?

Not applicable.

12. Is there a University Policy related to Records management? Origin of the policy? (Is it University, Library, Departmental, other?)

Policy towards Record Management listed here -
http://www.archives.mcgill.ca/about/about_policy.htm

13. Does your institution have a formal records management program?

Records management information all listed here -
http://www.archives.mcgill.ca/recmanage/recmg.htm, and our Terms of Reference -
http://www.archives.mcgill.ca/about/about_policy.htm

14. Is there a campus-wide mandate for records management? Is there a campus-wide mandate for e-records management?

MURRS (McGill University Records Retention Schedule) - *http://www.archives.mcgill.ca/recmanage/recmg.htm*, e-records (email), mentioned in *digital*permanence *section of website* - *http://www.archives.mcgill.ca/dp/index.html*, *and our Terms of Reference* - *http://www.archives.mcgill.ca/about/about_policy.htm*

15. Is there a campus-wide oversight/advisory committee?

No.

16. Is there dedicated budget for Records management?

No. The budget for records management is included with the overall budget of the Archives, that covers historical records and records management.

17. Who controls the budget for records management?

The Director and University Archivist, through the Secretariat.

18. How much is the budget?

Approx. $500K (largely salary), does not include accommodation and capital

19. Does your institution provide records storage facilities for campus units?

Yes, MUA does offer storage - *http://www.archives.mcgill.ca/recmanage/recmg.htm*

20. Does your institution have other centralized services to help departments manage records?

Other centralized services include Content and Collaboration Solutions for digital content. (http://www.mcgill.ca/it/it-mcgill)

21. Who are the major stakeholders in the records management program?

Staff in the units who are implementing records management, Secretary-General (esp. from governance and accountability perspective), Senior administration, Chief Information Officer (IT), MUA staff, faculties and teaching staff.

22. Who was included in developing the records management policies and procedures?

Policies pre-date current staff; research would be required to answer this accurately.

23. What is your relationship with IT?

MUA provides advisory services related to electronic content; MUA is a key stakeholder in management of content; and currently is a partner on the implementation of a university-wide content management system.

24. What is your relationship with legal counsel?

MUA provides RM services to McGill's Legal Services unit, and MUA consults regularly with Legal Services on legal matters pertaining to archives and records management, and client-service related issues (e.g. access, confidentiality); and MUA conducts some research and analysis using University records to support Legal Services activities.

25. If your institution does not have a formal e-records management program, is there one in the planning stages?

Our current records management program includes electronic records, and we are in the process of developing a trusted digital repository.

26. Do you conduct training for staff/units on campus? (describe)

Yes, we offer training. This is generally initiated by the unit, as opposed to holding set training sessions due largely to resource constraints.

27. Do you publicize your program? (if so, how and to whom?)

We publicize our program through our website and in having our records analysts liaison with units (through a portfolio approach – each analyst is responsible for particular units).

28. What do you consider to be the most important issues in records management?

From the perspective of a records manager, some of the important issues are accountability and compliance, storage, retrieval of information.

29. What are the most important issues to departments/units?

Storage, version control of documents, collaboration and sharing of information, and the protection of confidential information.

30. For which services do you receive the most requests from departments/units?

We receive the most requests for transfers of semi-active records to the MUA and retrievals of files in our holdings.

31. Is there a Sustainability Office/Department at your institution?

Yes - http://www.mcgill.ca/sustainability/

32. Is there a Sustainability Policy at your institution? Origin of the policy? (Is it University, Library, Departmental, other?)

Sustainability Policy - http://www.mcgill.ca/sustainability/policy/

33. Does the Sustainability Office/Department produce statistics related to the management of information on campus?

No. Destruction of paper is generally centralized through the MUA, and we keep statistics on the amount of destruction through our office.

34. Is the Records management Office or Archives currently involved in any efforts to reduce environmental impact of information management? Please describe these efforts.

We are in the beginning stages of working with University Services and Facilities to look at ways in which we can green up some of our processes, particularly the processes around destruction of paper. This includes examining procurement requirements related to the selection of vendors and how vendors can assist in reducing the carbon footprint.

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