

UBC Social Ecological Economic Development Studies (SEEDS) Student Report

Records Management Challenge:

An Evaluation of the University of British Columbia and the University of Western Ontario

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ARST 516: Management of Current Records

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The Records Management Challenge | A Community-Based Learning Opportunity

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Vicky Lemieux | ARST 516 | November 25 2010

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1. Introduction

Studies show that proper Records Management reduces both the environmental impact of an organization and the maintenance costs of retaining paper and electronic records. However, it is in the area of Records Management's contribution to sustainability where information is sorely lacking, particularly in a university setting. The purpose of this study is to determine where the University of British Columbia stands in the provision of Records Management services in comparison with the University of Western Ontario and international best practice as detailed in *ISO Standard 15389*. The goal of this challenge is to determine UBC's present Records Management status and establish opportunities for improvement, by analyzing and comparing existing policies, employee size, services offered and monies available. Hereafter in this report, Records Management will be referred to as RM.

2. Overview of the University of British Columbia

The University of British Columbia (UBC) is a state supported public institution with approximately 45,000 students and 14,500 staff and faculty. Following *Policy no. 127 University Archives at UBC Vancouver*, the University Archivist, Christopher Hives reports to *AUL, Collections* but is also held accountable to the University Librarian and the University Archives and Records Management Advisory Committee on policy related matters. In total, the University Archives contains a staff of three professional archivists and two support staff.

2.1 Policy

Reporting to the University Archivist, UBC's Records Manager Alan Doyle is the only professional archivist that makes up the RM staff. UBC has a formal RM program with a campus-wide mandate. Currently there is an e-records management program in development; however, this program is budget dependent. UBC *Policy no. 117 Records Management* dictates the policies and procedures that govern record managing at the university; both Legal Council and the Freedom of Information Manager were included in the development. Legal Counsel is named in the policy as one party responsible for approval of records schedules; however, in reality the "policy has not worked as expected" (Doyle). In cooperation with the University Archivist and University Librarian, the *University Archives and Records Management Advisory Committee (UARMAC)* was formed to compare "the UBC Archives with other University Archives and drafting a policy statement to guide the development of the Archives, recommend the appropriate level of funding for the program and review and make recommendations on the reporting structure for the University Archives." (UBC Board of Governors, *Policy no. 127*). The committee was established in 1991 and ran until 2004. The entire budget for RM at UBC is the salary for the sole employee, which is administered by the UBC Archives. RM has no operating budget. Currently, the only stakeholder in the RM Program is the University Archives.

The RM Program at UBC is underdeveloped in certain areas. For example, the University does not provide records storage facility for campus units and does not have other centralized services to help departments manage their records. These problems create an enormous difficulty for individual units as the most frequent request made from departments is the need for records storage. Overall, Records Management works closely with the University Archives, but has a distant relationship with IT.

2.2 Training

Records Management training is conducted in unit sessions, as well as co-presentations with UBC's Freedom of Information Officer. This training is open to all University staff and faculty. Publicity for the Records Management Program at UBC is only via the University Archives website and to list-serv when notifying of upcoming education sessions. Overall, Doyle considers appropriate retention (security, time period and format) of University records to be the most important issue in RM. Conversely, storage, retrieval and institutional memory are the most important issues for department units.

2.3 Sustainability

Currently, UBC is focused on sustainability. This is highlighted in UBC *Policy no. 5 Sustainable Development* and is also the fundamental column of the University's most recent strategic plan. The Sustainability Office does not formally produce statistics related to the management of information on campus; it does participate in research, such as surveys, into areas of common significance. At the moment, the Records Management Office and Archives is involved in the SEEDS Records Management Survey, in an effort to reduce the environmental impact of information management.

- the focus is sustainability, which is more broadly interpreted than environmental impact.

3. Overview of the University of Western Ontario

Located in London, Ontario the University of Western Ontario (Western) is a publically funded school, with a population of over 32,000 students. Robin Keirstead, who was interviewed for this report, is the University Archivist. Keirstead reports directly to the University Librarian, who is the equivalent of a Dean (who reports to the Provost and Vice-President Academic); thus, the position is roughly analogous to an Assistant or Associate Dean.

3.1 Policy

Western employs a University records and archives policy for its campus wide program, designed and maintained by the University Archives. *1.30 University Records and Archives Policy* states that, "University of Western Ontario is committed to the efficient and effective management of its records and the preservation of

its institutional memory through the establishment of a University Archives.” (Western Board of Governors). The University employs a *President’s Advisory Committee on University Records and Archives (PACURA)* which meets bi-annually to provide input to the RM program and policy. Most recently the committee looked at reviewing and approving new retention and disposal schedules and considered amendments to the current *University Records and Archives Policy*. The legal counsel for the Archives and RM sits on the above mentioned advisory committee and is also available for direct consultation on an as needed basis. Keirstead indicates that, “[w]e have a very good working relationship, although sometimes – as RM is not always his [number one] priority – there can be delays in getting comments/feedback on such things as reviews of draft retention schedules or disposal requests” (Keirstead).

3.2 Staff

Western does not employ separate records managers; however RM functions are part of the professional practice for archivists as defined in their collective agreement. There are 10 employees that constitute the Archives staff. Six are professional archivists; four are clerical/semi-professional staff members: one Archives Operations Assistant, two Archives Services Assistants, and one Archives Assistant.

The RM staff constitutes three main staff members. One professional which is the Manager, Resource Support & Record Centre Services and two clerical/support who are the Media Assistant, and Records Services Assistant. The University Archivist oversees the overall RM program and is the executive secretary on *PACURA*, which constitutes approximately 5% of a Full Time Equivalent (FTE). One of the Archivists for University Records is responsible for retention scheduling development, digitization project review, advisory service, and review of transfer and disposal requests (35% FTE). The Manager of Resource Support and Records Centre Services is responsible for the records centre facility operations and delivery service management, (40% FTE). The Records Services Assistant is the only staff member who is 100% FTE for the RM. The Services Assistant processes and documents all records centre transfers and retrievals, including offsite services; maintains RC database; processes and documents contracted destruction service. In addition, there are three Archives Assistants to support the Records Services Assistant and 2-3 Student Assistants who help with physical shelving.

3.3 Budget

Western Libraries uses a centralized budget model administered by the Director of Administration; there are no separate operating budgets for individual units or programs. All Library, Archive, and RM program activities are paid for from this budget, with a separate acquisitions budget for purchasing print and electronic resources. Money is allocated each year to cover normal core RM functions; however, if the RM program wishes to purchase an item that costs more than a few 100 hundred dollars then a request for funds is dealt with on a case by case basis. The direct costs for the RM program which can be estimated through salaries and

items purchased. Keirstead estimates, “factoring in the portions of the staff salaries for those involved in RM as well as some the direct costs, I would estimate the overall amount allocated to support the RM program exclusively at approximately \$150,000. This does not include facility and other related overhead costs, as these are paid for centrally at Western” (Keirstead). The overall operating budget is controlled by the Western Libraries Executive Committee. The University Archivist is a member of the committee which gives direct influence on specific RM expenditures.

3.4 Services

As stated on the RM website, the Western Archives provide a full range of records management services, free of charge, to the University, which include: secure on-campus semi-active records storage and retrieval, records retention and disposal schedules, confidential destruction, and media conversion and storage. The RM program is just one part of the Archives and Research Collections Centre (ARCC), which is a multi-functional facility, comprised of the archives, rare book repository, records centre and library book depository, as well as contracted space in a commercial records centre located off campus. Keirstead indicates that the ARCC dedicated space for semi-active storage is effectively full, and now semi-active records are being stored offsite, but still coordinate the process on behalf of the user departments. The biggest regular users of the Records Services Centre are Financial Services, followed by Human Resources and the Office of the Registrar. For records advisory services generally, the most frequent customers are all the central administrative services, followed by Western Libraries and Medicine and Dentistry. Keirstead considers Western Libraries the biggest stakeholder in the RM program, as it operates the service and identifies and retains valuable records for the Archive; all of the regular users of the RM program are also considered stakeholders.

The ARCC currently stores just over 17,000 banker's boxes or 1.2 cubic feet of semi-active records, with another 1000 boxes offsite in the commercial records centre. Keirstead elaborates, “in practice our capacity is limited only by our ability to pay; we have no physical limit per se; but we are not directly involved in electronic storage on a large scale” (Keirstead). The RM program only provides consultation services for planning media conversion or digitization projects of university records; they do not execute the work or coordinate projects on behalf of other units. The semi-active records storage and retrieval and destruction of confidential records and hard drives are the most popular services. Popularity is partially driven by limited storage space for paper records for many units moving into new facilities with less storage space. Keirstead indicates that their records advisory service was quite popular initially, but the number of requests for assistance has declined annually. Overall RM attitudes of individuals at Western are mixed; some believe “storage is cheap” and that emails are not true records, while others feel that e-records and emails are an important issue.

3.5 Training

When the RM program was set up between 2001 and 2003 administration and support staff in certain departments and units were given initial training; “particularly those that expressed interest or where specific projects were being undertaken. [Since that time, many staff that were trained] have moved on to other positions or have left the University and we do not have the resources to provide systematic training across campus” (Keirstead). Beyond the information posted on the RM website, the RM program is not actively promoted other than by word of mouth. “When we started in 2001 we did a fair bit of promotion via various internal publications,” says Keirstead, “but now we are sufficiently well known that staff in most units are aware of our services” (Keirstead). This is evident from the use of the aforementioned services in the previous section.

3.6 Sustainability

Western has a campus wide sustainability initiative which is called, *Environment and Sustainability on Campus*. This program is given direction by a *Sustainability Working Group* that aims to provide awareness of the initiative of the program. The Archives and RM program are not directly involved with the sustainability initiative on campus or are currently involved in any efforts to reduce environmental impact of information management; however, the contracted records destruction service participate in recycling programs.

4. Comparison

Western and UBC are both large Canadian public universities with RM programs initially supported by respective advisory committees. The UBC committee, *UARMAC*, which ran from 1991 until 2004 was charged with comparing the UBC Archives with other University Archives and drafting a policy statement to guide the development of the Archives; to recommend the appropriate level of funding for the program, and to review and make recommendations on the reporting structure for the University Archives. Western’s *PACURA* provides a similar function as outlined in the Western Overview section; the committee is still currently active with bi-annual meetings scheduled. The Western Archives had an initial buy in to the program as opposed to a committee creating a program for the Archives as at UBC, which could explain Doyle’s greater struggle at UBC and a greater success at Western.

4.1 Policy

One of the main differences between the two universities lies within their respective Archives and Records Management policies. UBC has a policy for both *University Archives* (Policy no. 127) and for *Records Management* (Policy no. 117). Alternatively, Western maintains an amalgamation of the two with their *1.30*

University Records and Archives Policy. Nevertheless, both UBC's *Policy no. 127 University Archives at UBC* and *Western University Records and Archives Policy* stress the importance of preserving the University's memory, providing information for future decision-making, facilitating efficient management and adhering to the guidelines of the *Freedom of Information and Protection of Privacy Act*.

UBC's University Archivist coordinates with the RM program to monitor the application of records schedules. The University Archives provides leadership and advice concerning the management of records, and establishes procedures and processes for life-cycle management of records; although, the main "operational responsibility for Records Management rests with the Vice Presidents and administrative heads of unit" (UBC Board of Governors, *Policy no. 127*).

4.2 Resources

Both Universities maintain a comparable staff size, with a University Archivist, several Archivists, and Archival Assistants. However, UBC retains a professional Archivist as and a full-time Records Manager; while Western RM functions are considered part of the professional practice for several archivists. *Western University Records and Archives Policy* has a small section reserved for RM Services. The University promises to provide "specific records management services, procedures and practices that include classifications systems to improve control and retrieval, semi-active records storage to reduce office storage requirements while ensuring records are available as long as required, vital records identification and protection, alternative media conversion and storage, electronic records management, and records retention and disposal schedules" (Western Board of Governors). Unlike UBC's policy, the University Archives of Western will assist officers and employees in managing their records efficiently and effectively by providing a comprehensive advisory and training service.

The monetary resources and stakeholder relations display a greater program success at Western. Both UBC and Western manage their respective RM programs without a dedicated operating budget. Both have budgets for RM employees, which come from a larger Archival or Library budget. However, it appears that Western devotes more resources to RM; as it employs several individuals in the RM centre, and gives Archivists RM responsibilities. UBC employs only one individual, a professional archivist to handle the entire program. It is unknown if UBC receives any funds for expenses. The biggest stakeholder of both RM programs are the larger units that they are a part of; although Western has additional stakeholders in the units, programs and faculties that regularly use its RM services.

4.3 Storage

UBC and Western share common challenges: physical storage, approving and enforcing retention and

disposition schedules, and initiating e-records systems; which are handled differently at each institution. UBC does not provide storage facilities for campus units or a centralized system to help departments manage their records, a consistently requested service. This leaves UBC RM with the great challenge of finding more storage and developing efficient RM services that meet the needs of UBC campus as a whole. Retention and disposition are another large challenge for UBC RM; they do not outline clear retention and disposition for campus units and currently lack any e-records program or policy. UBC is in the preliminary stages of developing an e-records program and policy; despite this, UBC struggles to preserve their e-records (Doyle). Western also suffers from an on campus storage deficit; they have been forced to utilize off-site storage services. Offsite storage adds costs and makes semi-active records retrieval more difficult for the respective campus units. It also adds to the never ending challenge of providing enough physical storage for all involved stakeholders.

4.4 Decentralization

Western similarly struggles with a decentralized university structure. Keirstead notes that, “any program promoting centralization and systematic implementation of standard processes is sometimes greeted with a degree of suspicion. As a result we have major challenges in getting consistency across the campus with any if not most of our initiatives” (Keirstead). These problems include enforcing initiatives such as retention/disposition schedules and e-records procedures campus wide because departments and units often work independently, and struggle to understand such initiatives or resist if it contradicts their own priorities; approval for retention schedules is difficult for this reason, notes Keirstead. E-records initiatives have struggled because departments and units do not understand the value in managing and preserving these types of records. E-records initiatives have remained a priority of IT, and are without a formal RM policy (Keirstead).

Initiatives towards ^{aimed at} sustainable RM practices at UBC and Western differ greatly. UBC RM and Archives has taken formal steps to comply with the overall mission outlined by the *Sustainable Development Policy no. 5*, and the *University Strategic Plan*: “UBC works to enhance its capacity to teach, research and practice sustainable development principles, and to increase ecological/social/economic literacy and practices among faculty, staff, students, and the public at large.” (UBC Board of Governors, *Policy no. 5*) The UBC RM and Archives Office ^{sked.} has ~~strived~~ to meet this goal by launching research initiatives like the *SEEDS Records Management Survey*, where archival students explore other sustainable initiatives for RM and archives at universities around the world. In short, UBC RM and Archives seek the best sustainable practices that are ecologically responsible and economically viable.

Western’s ARCC has no formal sustainability plan. The University has an office of *Environment and Sustainability on Campus*, which is involved in a sustainable initiative with the *Council of Ontario Universities*, which comprised a sustainable report on practice ^s at various universities in Ontario (COU Report). The report

shows that Western initiatives have included the formation of student committees and academic programs dedicated to environmental issues, but no RM or archives initiatives are noted. Keirstead also confirmed that no formal plan or relationship exist in terms of sustainability, except a basic recycling program established by Western (Keirstead). Pursuits of sustainability initiatives do not seem to be a top priority to the ARCC.

4.5 ISO 15489

UBC and Western each fulfill core principles of *ISO 15489* by providing clear policies with well-defined statements, institutional goals, mandates, authority structures, employee responsibilities, and RM procedures; however, compliance to *ISO 15489* is not implicitly stated in either policy. In particular, these attributes fulfill the *ISO 15489 Guidelines* sections of *Policies and Responsibilities, Section 2*, which suggests that all RM policies should be documented, defined, and enforced at all levels in an organization. Moreover, a policy should identify senior management and the external and internal stakeholders in an institution, clearly indicating the responsibilities and roles of these individuals or organizations. Lastly, guidelines, and the procedures that pertain to the overall RM occupation and daily operations of an institution, such as retention schedules, preservation, and disposition authorities should be stated directly in any RM policy (*ISO 14589 Guidelines, 2-2.3.2*). Both UBC and Western RM policies included these elements, but structured them differently.

The UBC RM policy achieves this by providing the following sections: *Background and Purpose, Scope, General, and Definitions*. *Background and Purpose* provides the aforementioned general RM mandate; the *Scope* outlines all internal or external parties or stakeholders involved in the RM policy, which states that, “all departments 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.” The *General* section states procedures and guidelines, dictating responsibilities and roles within the institution; and finally the *Definitions* section provides terminology relevant to RM and the particular institutions operations, which includes *Destruction, Disposition, Record, Records Management, Records Management Manual, and Records Retention Schedule* (UBC Board of Governors, *Policy no. 117*). While only two pages, the policy covers all major points discussed in *ISO 15489 Guidelines, Section 2*.

The Western RM policy also complies with *ISO 15489*, but in greater length and with more detail in its institutional policies and procedures than UBC. The *General* section provides a number of general RM mission statements of the University. The *Policy* section contains the subsections of *Mandate, Goals, President’s Advisory Committee on University Records and Archives, Records Management Services, Acquiring Archival Materials, Deaccessioning Archival Materials, Loans and Returns, and Access to Archival Materials* make up the rest of the Western RM Policy. The *Mandate* subsection briefly describes all the internal and external stakeholders that Western serves. This includes the Board of Governors, Senate, academic and administrative

units, and committees. The subsection *President's Advisory Committee on University Records and Archives* clearly delineates the senior management structure of Western and the roles and responsibilities of each individual or unit, such as Provost, Vice President, University Librarian, University Archivist, and so on. The rest of the subsections detail basic procedures, goals, or guidelines for archival and RM issues such as determining access to records, or determining retention and disposition schedules (Western Board of Governors).

Highlighting the policies of UBC and Western provides the strongest insight to possible compliance or reference to ISO standards. It outlines the overall structure of an institution and its interrelationships among all involved stakeholders or parties and precise information on the procedures an institution may engage with on a daily basis. This provides an opportunity to fully ascertain compliance to not only policy aspects of *ISO 15489*, but also other aspects of this standard.

5. Reflection

Comparison of these two universities revealed the complex setting of RM that large academic institutions operate in. Even with a sound theoretical RM policy, when compared to the core principles of *ISO 15489*, these institutions face significant challenges of budgets, facility limitations, and conflicting priorities of involved stakeholders. It is no easy task to fulfill all of the requirements of the institutional RM policy; in the case of these two programs, they both struggle with a decentralized structure and overarching policies in other areas. This creates a difficult task of synthesizing RM procedures and goals to fit the mission of the larger university, such as UBC RM creating policy and procedure to meet the aspirations of *Sustainable Development Policy no. 5*, or the *UBC Strategic Plan*. Moreover, each RM program faces the challenge of implementing their own policies and procedures across the decentralized departments and units of their respective university, often battling those resistant to centralization.

It seems that a top level stakeholder buy-in is required to make a program more successful as displayed by Western; which has more staff involved in RM, more resources, clear policy available for all to see, and the support of a committee. From class lectures and readings, it is evident that RM is not a glamorous or easy profession, especially on a large university campus. UBC struggles to get campus wide recognition and policy off the ground, which is a difficult task for one individual. Doyle requires the most support from the UBC's administration, clearly defined and easily available policy, and staffing resources for promotion of the program. Overall, the role of a records manager demands flexibility, corroboration, communication, frugality, intellectual foresight, and, most importantly, patience. *collaboration?*

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Appendix A: Survey Responses from Alan Doyle, University Records Manager, University of British Columbia

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/>

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: Survey Responses from Robin Keirstead, University Archivist, University of Western Ontario

1. Is your institution state-supported or private?

It is a public Canadian university located in London, Ontario. The majority of post-secondary institutions in Canada are publically funded and by looking at the Financial Statements available on UWO's website we can confirm this.

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

The University of Western Ontario was founded in 1878. Western has a population of over 32,000 students including approximately 1600 international students from more than 60 countries. Over 200 academic programs and more than 2,00 courses across 12 faculties and schools, and 3 affiliated colleges.

-Approximately 25,000 undergraduate students and 5,000 graduate students

3. Does your institution have an archivist?

The University employs several archivists. Robin Keirstead is the University Archivist, along with:

Tom Belton, Archivist

Bev Brereton, Archivist

Anne Daniel, Archivist

Amanda Jamieson, Archivist

Leslie Thomas-Smith (on leave), Archivist

4. To whom does he/she report?

As University Archivist I report directly to the University Librarian, who is the equivalent of a Dean (she reports to the Provost and Vice-President Academic). Thus, my position is roughly analogous to an Assistant or Associate Dean. All the archivists report to me. We do not have separate records managers per se; RM functions are part of the professional practice for archivists as defined in their collective agreement.

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

There are 10 employees that constitute the Archives staff. Six are professional archivists and four are clerical/semi-professional staff members.

Robin Keirstead, University Archivist

Tom Belton, Archivist

Bev Brereton, Archivist

Anne Daniel, Archivist

Amanda Jamieson, Archivist

Leslie Thomas-Smith (on leave), Archivist

Matthew Fluter, Archives Operations Assistant

Senad Omercagic, Archives Services Assistant

Gil Radtke, Archives Services Assistant

Theresa Regnier, Archives Assistant

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?)

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The University of Western Ontario – 1.30. University records and archives policy
According to the policy the “University of Western Ontario is committed to the efficient and effective management of its records and the preservation of its institutional memory through the establishment of a University Archives.” (The University of Western Ontario Policies and Procedures)

8. Does your institution have a records manager?

Richard Kirk, Manager, Resource Support & Record Centre Services
Is he the University’s record manager?

University Archivist: overall program management and exec secretary function to PACURA (ca 5% of full-time equivalent or FTE)

Archivist (University Records): retention scheduling development, digitization project review, advisory service, and review of transfer and disposal requests (ca 35%)

Manager, Resource Support and Records Centre Services: records centre facility operations and delivery service management (ca 40%)

Records Services Assistant: processes and documents all records centre transfers and retrievals, including offsite services; maintains RC database; processes and documents contracted destruction service (100%)

3 x Archives Assistants: assist Records Services Assistant (equivalent to ca 40%)

2-3 x Student Assistants: assist with physical shelving and retrievals (equivalent to ca 20% of FTE)

9. To whom does he/she report?

As University Archivist I report directly to the University Librarian, who is the equivalent of a Dean (she reports to the Provost and Vice-President Academic). Thus, my position is roughly analogous to an Assistant or Associate Dean. All the archivists report to me. We do not have separate records managers per se; RM functions are part of the professional practice for archivists as defined in their collective agreement.

10. How many employees (FTE’s) constitute Records Management staff? How many professionals? How many clerical?

Assume that the Record Management staff constitutes 3 main staff members:
Barry Arnott, Media Assistant
John Critchley, Records Services Assistant
Richard Kirk, Manager, Resource Support & Record Centre Services
1 professional and 2 clerical/support staff (?)

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

N/A

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

Policy related to Records Management is within the University’s records and archives policy.

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

Yes.

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

The University Records and Archives policy states that:

The University of Western Ontario is committed to the efficient and effective management of its records and the preservation of its institutional memory through the establishment of a University Archives.

Mandate

3.00 The University will establish a University Archives with the following mandate:

(a) to provide comprehensive records management services to the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University; and

(b) to identify, acquire, arrange, describe, preserve, promote the use of, and make available those University records and related archival materials from other sources which are of enduring historical, legal, fiscal and administrative value.

4.00 All records created, received, used or maintained by officers and employees in the course of their duties on behalf of the University are the property of the University. Officers or employees leaving their positions with the University shall leave all records for their successors. This applies to both temporary and permanent departures, including transfers within the University.

5.00 Notwithstanding section 4.00, the provisions of this policy do not apply to the records that are created or acquired by faculty members or other officers or employees pursuant to their individual responsibilities for teaching or research, unless the records are donated to the University Archives.

6.00 The University Archives is the designated repository for all permanently valuable records of the University that contain information about its history, organization, structure and functions.

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

Yes, the University will establish a President's Advisory Committee on University Records and Archives (PACURA) with the following composition:

Provost & Vice-President (Academic) (or designate)
Vice-President (Resources & Operations) (or designate)
Vice-President (Research & International Relations) (or designate)
Vice-President (External) (or designate)
Vice-Provost (Academic Programs & Students) [Registrar] (or designate)
University Librarian
Secretary of the University (or designate)
President, Alumni Association (or designate)
Internal Auditor
University Archivist
Two members appointed by the President

Yes. The committee is still active, although it has yet to meet this year. There is a requirement to meet at least twice per academic year (July - June) so I anticipate it meeting again sometime in late February - early March. The meeting schedule is largely driven by agenda items and there have not been many as of late but we will

meet anyway if need be. Most recently the focus has been on reviewing and approving new retention and disposal schedules and considering amendments to our existing University Records and Archives Policy.

16. Is there dedicated budget for Records Management?

Not really. In our budget model there is just one overall Western Libraries operating budget, from which all library, archives, and RM program activities are paid (there is another separate acquisitions budget for purchasing print and electronic resources). In this centralized budget model there are no separate operating budgets for individual units or programs. Money is allocated each year to cover normal core RM functions, but it is not a “dedicated” budget per se. Thus, if I want to buy something new that costs more than a few \$100 I need to request funds for it on a case by case basis.

17. Who controls the budget for records management?

Bearing in mind the above, the overall operating budget is controlled by the Western Libraries Executive Committee (as University Archivist I am a member) and it is administered by the Director of Administration. Given that the kind of request I mentioned above comes to the Executive for approval, in practice I have a fair bit of direct influence on specific RM expenditures.

18. How much is the budget?

As we don't have a separate budget line for RM program and services this is somewhat difficult to pin down, but factoring in the portions of the staff salaries for those involved in RM as well as some the direct costs, I would estimate the overall amount allocated to support the RM program exclusively at approximately \$150,000. This does not include facility and other related overhead costs, as these are paid for centrally at Western.

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

Western Archives provides a full range of records management services to the University, including:

- **Secure on-campus semi-active records storage and retrieval (see client comments)**
- **Records retention and disposal schedules**
- **Confidential destruction**
- **Media conversion and storage**

The storage and retrieval service is a classic semi-active records centre operation, using both space in the Archives and Research Collections Centre (ARCC) as well as contracted space in a commercial records centre located off campus. The ARCC is a multi-function facility (archives, rare book repository, records centre and library book depository). We provide semi-active university records storage and retrieval services for all university offices and departments that choose to use our services (we provide physical pick-up and delivery of hard copy records). As space in the ARCC dedicated to that purposes is effectively full, we now store SA records offsite but we still coordinate the process on behalf of the user departments. We do not currently charge back for any of the services. Regarding media conversion, our role has evolved to the point where we are only providing consultation services in planning media conversion projects for university records (mostly digitization). We do not do any work directly nor do we coordinate projects on behalf of others.

I can only speak for the storage for which my unit is directly responsible. We are currently storing just over 17,000 boxes (banker's boxes = 1.2 cubic feet each) of SA records in the ARCC. We have another 1000 boxes offsite in the commercial records centre. As we pay for the space we need offsite as we need it, in practice our capacity is limited only by our ability to pay; we have no physical limit per se. We are no directly involved in electronic storage on a large scale (see my earlier answer about the IT records management services offered by other units on campus).

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

If by this question you mean centralized services other than the RM program itself, the only centralized services that directly help departments manage records are two different IT units, one that covers general IT equipment and services and the other that deals specifically with management information systems (we use PeopleSoft) and associated use of document management/imaging to support workflow improvement. The Archives worked with the latter to purchase a centrally supported document management product (LaserFiche) and to set up project approval and implementation procedures, but due to resource constraints and staffing issues (archivist on LTD) the Archives has been less directly involved in specific projects than we once were.

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

This is an interesting question, as the answer depends on what you mean by stakeholder. At one level there is only one stakeholder, and that is the University as a whole. At another opposite level, all university departments and offices (and their staff) are stakeholders. However, if you mean who are the most directly affected/involved parties, then the answer is Western Libraries (operates the service and gets to identify and retain valuable records for the Archives); Financial Services, Human Resources, and Registrar's Officer (largest departmental clients); our institutional planning and budgeting office (reaps specific benefits regarding space savings through centralized storage); and senior administration (reaps overall benefits).

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

Most of the initial work was done within the Archives, although there was and is a university-wide records and archives advisory committee that provides input. Admin officers in some of the faculties and support units were also involved, but informally.

23. What is your relationship with IT?

The only centralized services that directly help departments manage records are two different IT units, one that covers general IT equipment and services and the other that deals specifically with management information systems (we use PeopleSoft) and associated use of document management/imaging to support workflow improvement. The Archives worked with the latter to purchase a centrally supported document management product (LaserFiche) and to set up project approval and implementation procedures, but due to resource constraints and staffing issues (archivist on LTD) the Archives has been less directly involved in specific projects than we once were.

24. What is your relationship with legal counsel?

He sits on the above mentioned advisory committee and is also available for direct consultation on an as needed basis. We have a very good working relationship, although sometimes – as RM is not always his #1 priority – there can be delays in getting comments/feedback on such things as reviews of draft retention schedules or disposal requests.

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

Department/Unit IT Support (Local or ITS)

- Participate in software training.
- Install software and hardware.
- Provide technical assistance for hardware.
- Provide technical assistance for software, in conjunction with WISG as required.

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

This is, unfortunately, quite limited. In the past, when the RM program was being set up (ie, ca 2001-03) we did some initial training for admin support staff in certain faculties, departments and units, particularly those that expressed interest or where specific projects were being undertaken. Unfortunately a number of those staff who were trained have moved on to other positions or have left the University and we do not have the resources to provide systematic training across campus (and I am not sure what, realistically, the interest level would be).

<http://www.uwo.ca/univsec/mapp/section1/mapp130.pdf>

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

Beyond what is posted on our website we do not actively promote the program other than by word of mouth. When we started in 2001 we did a fair bit of promotion via various internal publications (hard copy and online) but now we are sufficiently well known that staff in most units are aware of our services. We could likely afford to do a bit more promotion, as with staff turnover in various locations the local knowledge may be gone, but we are currently hard pressed to meet existing service demands so we are hesitant to increase demand to the point where we can no longer respond effectively.

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

At a macro level, as Western is a very traditional, highly decentralized institution, any program promoting centralization and systematic implementation of standard processes is sometimes greeted with a degree of suspicion. As a result, we have major challenges in getting consistency across the campus with many if not most of our initiatives. In many areas our program offerings are voluntary so there are a number of local practices that are not consistent with ours.

At a more specific level, the biggest operational challenges we face are in getting consistent application of approved retention schedules, especially for records held locally and never sent to semi-active storage, and both awareness of and openness to dealing with e-records (beginning with e-mail).

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

Perhaps surprisingly, I think for many units limited storage space for paper records continues to be a major issue, especially with various units moving into new facilities with less storage space (which we are addressing as much as we can via our records centre service). Some units are very concerned about e-records and e-mail, but others don't seem to see this is an issue yet because "storage is cheap" and there are still some staff who don't consider them to be true records.

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

Our most popular services are still largely paper oriented, central semi-active records storage/retrieval and confidential records destruction (for the latter we also dispose of hard drives etc). There is currently no charge for these services. Our records advisory service was very popular initially, but the number of requests for assistance is declining annually. The LaserFiche initiative remains popular, although as noted above we are less directly involved than we once were.

In terms of who uses the services most, for records centre services, the biggest regular users are financial services, followed by human resources and the Office of the Registrar. For records advisory services generally, the most frequent customers are all the central administrative services, followed by Western Libraries and Medicine and Dentistry.

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

Yes, "Environment and Sustainability on Campus"

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

<http://www.uwo.ca/enviro/>

<http://www.cou.on.ca/Issues-Resources/Key-Issues/More/PDFs/Going-Greener---Full-Report-on-Sustainability-Init.aspx>

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

Not that I am aware of.

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

Not directly, no. We are not directly or formally involved in any such initiative, although our records destruction service (contracted) is involved in recycling programs.

Appendix C: Ethical Conduct for Research Involving Humans Certificates

Certificate of Completion

This is to certify that

Kathleen Brow

*has completed the Interagency Advisory Panel on Research Ethics'
Introductory Tutorial for the
Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS)*

Issued On: October 01, 2010

Certificate of Completion

This is to certify that

Leif Kopietz

*has completed the Interagency Advisory Panel on Research Ethics'
Introductory Tutorial for the
Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS)*

Issued On: November 02, 2010

Certificate of Completion

This is to certify that

Kate Sloan

*has completed the Interagency Advisory Panel on Research Ethics'
Introductory Tutorial for the
Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS)*

Issued On: November-25-2010