



## University Secretariat

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We realize that there is not much we can do to make Records Management more glamorous. It's one of those things you like or you don't. You have an aptitude for it or you don't. We understand.

What we are asking is that you give us a chance to help make it less painful and once you get things in place going forward it doesn't have to be painful.

Most people attempt to do a clean-up all in one go or a massive one time organization project but then their work and lives moves on and it's hard to stay on top of it.

We are approaching this systematically, working together over time, throughout the University providing support to get it started and to keep it going.

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## Moving Forward



- **Getting organized**
- **Simplifying**
- **Legislation compliance**
- **ISO standards**
  - Record retention schedules
  - Best practices



What this means for UNB is that we are getting our business and operational records, both paper and electronic and whatever formats we might have (email, videos, new technologies, etc.) in order.

**Getting organized** – on both an individual and collective level, this is a great opportunity to clean-house, shake out the cobwebs and see how things are working, or not working, with respect to our record creation, access, storage and disposition (final end not attitude).

**Simplifying** - better yet it means we have chance to simplify, make are lives less complicated. By asking questions about why we doing what we are doing with respect to records we can find out if we are duplicating the same records in paper and electronic, are we making back-ups of our back-ups?


**Legislation compliance** – There is also a legal component for record management such as RTIPPA. We are getting our house in order for access to records and ensuring we are meeting the requirements of privacy and protection of personal information. There are other legislative requirements, concepts that might be more familiar to people such as keeping financial records for 7 years. But, there have been legislation changes that we need to be aware of such as the Act on the Limitations of Actions.

### **ISO standards**


There are practical best business practices that we can take the opportunity to adopt. As an organization we can move towards meeting International Standards using methods and tools that have already been proven to make organizational operations more efficient and effective.

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## Approach



- **Interviews (overview)**
  
- **Record Inventories**
  
- **Record Retention Schedules (drafts)**
  
- **Review & Feedback**
  - **Workflow**
  - **Requirements**



To get the process started we are starting with (what I call Phase 1):

**Interviews (overview)** - Meet with individual units/departments/faculties to review current record situation, and ask what records are of greatest concerns, are there situations that must be dealt with sooner rather than later, etc.

**Record Inventories** – meet with specific staff members to start examining the details of records series held. How many years are being retained, current retention practices, disposition, etc. Get the details of the record situation.

**Record Retention Schedules (drafts)** – These are a very simple but important tool which lay out the purpose, the uses and the life cycle of a record series. They set the practice for how records will be treated. They help set common practices across an organization but also allow for specialized treatment to records unique to individual units/departments/faculties.

**Review & Feedback** – As part of the process we need to work with the record users to establish a balance so that retention schedules are compatible with everyday reality of workflow but also comply with University Regulations and federal and provincial legislation, etc.

Workflow

Requirements

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## Support & Resources



- **Records Management, University Secretariat**
- **Identification of record staff- units/depts/faculties**
- **Feedback Session**
- **Tools**
  - Handbook
  - Webpages



**Records Management, University Secretariat** – No one has to go it alone. The University Secretariat is taking the lead for Records Management at UNB and we have a plan. We will be working our way through the University units/departments/faculties over the next couple of years.

It is a big job but there are things we can do along the way, we can deal with some of the more immediate concerns and issues that come up. Plus, as we work with more units/departments/faculties patterns and practices will be established, which makes things simpler for the bigger picture.


**Identification of record staff** – An important step will be to identify the right people. What positions are responsible for records management in their units/departments/faculties? It is important that the people who are working with the records are identified as early on in the process as possible so we can work together, communicating to get discussion going.

**Feedback session** – What we mean by working together is not just finding out about the types of records but asking what will work for you? We are going to holding 4 sessions open to those identified as key record staff (and whoever is interested) to discuss moving forward with records management and to find out what are the greatest needs and concerns.

**Tools** – We are developing a handbook/webpages which will include important information for navigating through records management at UNB: tools such as a glossary, information on key practices and approaches, list of UNB regulations to be aware of, templates, etc. To make a records management program work we cannot work in a vacuum but with central support which enables us to look at the larger context of the University while customizing practices to what is needed for specific work areas.

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## Other Benefits



- **Secure Shredding**
- **Storage (organized)**
- **Privacy Audits & Support for Research Initiative**
- **Directory of Records, & Personal Information Database**



**Secure Shredding** – Secure shredding, once more of a nicety is more of a necessity now. We are required by law, and it's not just any old shredding there are standards there is concern for the chain of custody. Also, even if we shred on our own, how do you dispose of it? Just as must a part of the secure process as the shredding itself.

**Storage** – Record storage space is a problem for everyone. Both physical space and electronic storage are a huge concern and currently it's we are barely surviving on make shift solutions. Hiding boxes away, no formal online back-up plan and everyone keeps multiple copies, etc. The first place to start is with identifying what our current storage situation is like. Storage survey on now.

**Privacy Audits & Support to Research Initiatives** – Records Management helps in ways that are not as obvious. For example a research group on campus is preparing a proposal to establish themselves as an Institute but to do this they need to identify UNBs ability to protect personal information; what are records management practices, what means are in place to prevent and deal with a security breach, what is UNB doing to prevent them, etc.?

**Directory of Records and Personal Information Database** – As record retention schedules are developed and approved, we are building a Directory of Records that becomes a tool for accessing UNB records both internally and externally. A Directory of Records holds a listing of what records are held where and for how long. We are also creating a Personal Information Database List that indicates what types of personal information is being collected where at UNB. (Both are required by law in some provinces already)

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