



- Present:** Peter James (University Archivist -- **Chair**), Jane Barske (Records Manager -- **Secretary**), Melanie Barton (Campus Services), Christine Bell (Menno Simons College), Christy Campbell (Faculty of Education), Jacqueline Cote (Faculty of Social Science), Joan Duesterdiek (Technology Solution Centre), Judy Erhart (Recreation & Athletic Studies), Barbara Foucault (Arts & Science Office), Alys-Lynne Furgal (Interfaith Marriage & Family Institute), Paul Gangloff (Collegiate), Linda Gladstone (Faculty of Humanities), Jillian Golby (Institute of Urban Studies), Carol Halko (Operations Auditor), Patty Hawkins (Department of Theatre), Louise Humeniuk (University Relations), Mark Leggott (University Librarian), Gillian Milne (Physical Plant), Andre Oberle (Centre for Innovation in Teaching & Learning), Michelle Swail (Offices of the VP, Finance & Administration, and VP, Students), Judy Tanner (Student Services), Wen Trask (Office of the Assoc. VP Academic), Jane Yerama (Office of the President).
- Guests:** Shandel Happychuk (Library, Archives & Records), Stephen Willetts (VP, Finance & Administration).
- Regrets:** Jeri Breckman (University Secretariat), Judi Hanson (Office of the VP Academic), Donna Hebert (Human Resources), Bonny Hill (Faculty of Theology), Murielle Jennings (Science), Donna Laube (Centre for Distributed/Distance Learning), Colleen Little (Continuing Education), Hilda Malchuk (Financial Services).

1. APPROVAL OF THE AGENDA

There being no further additions or changes, the Agenda was approved as circulated

2. WELCOME & INTRODUCTIONS

The University Archivist, Peter James, welcomed everyone to the first meeting of the Records Management Committee. He was sure that many would know one another, but thought it appropriate to go around the table and introduce ourselves, by name and department, how long we have been working here and in which departments we have been employed in. Peter asked Stephen Willetts to say a few words.

Peter noted that many members were with us in March 2000 when we had a meeting about the introduction of FIPPA on campus: <http://www.uwinnipeg.ca/web/faculty/admin/fippa.shtml>. Furthermore, some members even participated in the last go-round on Records Management in 1989. He was optimistic that we have a policy that will work this time and there is interest and support on the part of senior management and the Board of Regents for a Records Management program.

The need for records management has increased with the demands of the Freedom of Information and Protection of Privacy Act (FIPPA), which require that access be granted to university records, while protecting the personal information of individuals. This legislation makes the control and diffusion of information a priority for all departments/units of the University.

The Records Management Policy for the University of Winnipeg has been presented for discussion, in draft form, to the Senior Administrative Council and the Senior Academic Council. It is anticipated that the Board of Regents will adopt the Records Management Policy sometime this spring.

The Records and Information Management Program, located within the University Archives & Records Centre in the Library, is responsible for ensuring a cohesive approach in the development and implementation of Records & Information Management (RIM) at the University of Winnipeg.

3. REVIEW OF RMC MANDATE and MEMBERSHIP

The Policy proposes the development of an all-encompassing Records Management Program applied to all business records created and or used by University personnel in the course of their business. It will not apply to research, teaching or personal records of University faculty and staff. It envisions the inventorying, classifying and retention scheduling of all records to provide for the smooth functioning of the business of the University and promote consistent practices for record-keeping activities. The Records Management Committee will oversee the Records Management Program.

MANDATE ... The Records Management Committee has a mandate to oversee and implement the Records Management Plan for the University of Winnipeg. Peter highlighted several key points in the document provided:

- (a) Oversight and development – this will come through meetings, sub-committees and educational work performed at the record unit level;
- (b) Devise and promote best practices – these would be in the areas of classification and retention scheduling and disposition methods;
- (c) Develop a Manual – the Manual will incorporate both the bare bones of records management (classification, retention, disposition) as well as the education programs and procedures that work, and will also include tips and tricks for those who succeed us;
- (d) Vital Records Program – one of the classes of records the program will administer is called vital records. These would include (at a minimum) essential governance, building, financial, security and personnel files. These are high-level records in the absence of which, the University could no longer function. The program will have to designate such records and will have to develop means of securing them;
- (e) Communications – this speaks to the educative role all of us will need to play, to make sense of records management to the wider community, to explain its importance to our co-workers and our superiors, (for example, as Records Coordinators you will also act as educators and liaison to the Unit Records Officers who have been assigned to you);
- (f) To make recommendations – we have the responsibility for implementing this program on a university-wide basis.

Under the Records Management Policy, the University Archivist is charged with ultimate responsibility for Records Management. In turn, he will have to ‘sell’ the program to senior management. The most effective way for us to get this job done is to develop policies and procedures that work, that make sense of records management at the University, and that will enjoy the approval and support of senior management and the users. The Records Manager is responsible for providing a structure that will enable personnel in all departments and offices to organize and manage their recorded information.

Meetings will be called twice a year, more frequently as need be. Between these meetings there will be meetings of subcommittees and many of the Records Coordinators will be asked to serve on at least one of these subcommittees. The subcommittees are:

- **Advisory Subcommittee** ... will provide direction and oversight to the work of the other subcommittees.
- **Classification / Scheduling Subcommittee** ... will include development of a Vital Records Policy and a Disaster Recovery Policy.
- **Procedures Subcommittee** ... will be in charge of developing the Manual and stating best practices.
- **Electronic Records Subcommittee** ... will look at what we will do in the near future with the proliferating electronic records that now constitute the main means of record-keeping on campus.
- **Special Projects Subcommittee** ... will look at the feasibility of alternative storage media (microfilm, imaging, etc.), off-site storage costs and other projects as proposed.

ACTION: **Members were asked to consider which subcommittees they would like to participate on and contact either Jane Barske or Peter James.**

ACTION: **Appointments to the Sub-committees will be made at the next meeting.**

MEMBERSHIP ... Successful implementation and continuing viability of the Records Management Program requires an active role on the part of administrative staff of the University. Therefore, the membership of the Records Management Committee consists of representation from all major areas of the university community (document provided).

The University Archivist and the Records Manager will report to the Records Management Committee. In addition, the University Archivist will be the Chair while the Records Manager will act as Secretary.

To insure that the Records Management Program complies with University and external legislative and regulatory requirements, and that the Program meets the policy considerations that established it, the University Auditor shall review the work of the Records Manager and of the Records Management Committee and report their findings to the Records Management Committee and to senior administrative officers of the University.

Recommendations from the Records Management Committee shall be forwarded to the University Librarian, an ex officio member of the committee, who will bring them forward for consideration to senior administrative officers of the University.

4. ROLE OF RECORD COORDINATORS and UNIT RECORDS OFFICERS

The Records Coordinators will act as educators and resource people for the units assigned to them. This will include knowledge regarding best practices and the application of classification and retention schedules once these have been determined. At the same time, the Records Coordinators shall be the 'sounding board' for the Records Management Committee and the RM Program. The Records Coordinators shall make inquiries as to how their Unit Records Officers are using the program, whether

the classification schedules meet their needs, and what they and their supervisors consider reasonable retention and destruction schedules. This information is of vital importance to those members on the Procedures Subcommittee and the Classification/Scheduling Subcommittee. The Records Manager may be called upon if there are performance problems or when there is procedural misunderstandings or miscommunication.

The Records Unit Officers will be charged with records management implementation in their own areas. Once the Records staff has completed the initial onsite records inventory, provided training and classification schedules and other conventions to the unit, it will be the task of the Unit Records Officer to keep the program running smoothly in their area. The Unit Records Officer will be the one controlling the OmniRIM database for that Unit, doing document entries, applying retention and dispositions schedules and similar tasks.

Jane Barske thanked the members for accepting the responsibility of Records Coordinator, a key role -- like that of an ambassador -- in the success of the UW Records Management program. The Records Coordinator's primary duty will be to convey the views of their respective Unit Records Officers and bring forward any concerns or issues to the Records Management Committee. The Records Manager referred to the draft document "Unit Records Officers (URO)" and asked members to review its content for accuracy.

ACTION: Members will confirm the Unit Records Officers for their designated areas. Changes and/or additions should be forwarded to the Records Manager by the end of March.

The Records Manager referred to "Records Management Program and the Role of Records Coordinators and Unit Records Officers" and trusted that the Records Coordinators would study the information contained therein as this document would form the basis of the best practices RM Manual.

By definition, 'Records Management' is the discipline and organizational function of managing information to meet operational business needs, deliver programs and services, accountability requirements and community expectations. In other words, Records Management is the systematic control of an organization's records from their creation or receipt to their ultimate preservation or destruction.

One of the RM Program's primary goals is to preserve our corporate memory and align related initiatives through education and effective communications throughout the organization.

Creating a records and information management community at the University of Winnipeg will provide us with the knowledge and tools to work better together and enhance the way in which the institution and its clients locate and access, learn from and use its information holdings. With the implementation of a records management program, there are many advantages, such as:

- * improved ACCESS to accurate, timely and complete information for effective decision-making;
- * address STORAGE space issues (by using proper retention and disposition schedules); and,
- * preserve VITAL information and archive those records deemed of value for ongoing historical reference or research purposes.

THE RECORDS MANAGEMENT PLAN

A working plan has been proposed – a three-phase implementation plan for Records Management that can be accomplished in a three to five year time frame:

Phase 1 (2003-) . . . introduction of the RM Program as a university initiative, appoint Records Coordinators and name Unit Records Officers, establish the work of the Records Management Committee, introduce the educational and training aspect of the Records Management Program. Many of the tasks have been completed or are in progress:

- Pilot Project -- undertaking the inventorying and classification of Library records; data entry and testing of the OmniRIM software system.
- Application to Senior Management to undertake a university-wide Records Management Program.
- Initiate Call a meeting of the Records Management Committee and determine membership of subcommittees.
- Inventory and classify records held by University Relations, Office of the President, Vice-Presidents and University Secretariat.

By the end of Phase 1 the following should be accomplished: (a) inventorying and classification of existing paper records in designated units should be completed; (b) the university community will be fully apprised of the Records Management Program and of the efforts that have been undertaken; (c) the Records Management Committee should be fully functioning, having developed subcommittees on alternative storage media, drafting of classification and retention/disposition policies and schedules, drafting of the best practices manual; and, (d) prototype classification, retention and disposition schedules will be completed and ready for implementation.

Phase 2 (2004-) . . . continuation of the implementation of records management program in remaining administrative areas of the university:

- Records Management Committee review of Phase 1 work with reports from subcommittees.
- Inventory and classify records held by Financial Services, Human Resources, Technical Solutions Centre, Physical Plant, Campus Operations, Recreation & Athletics, and Security Services.
- Best practices Manual completed, put on a Records Management website at the university; review of retention and disposition schedules.

By the end of Phase 2, the following should be accomplished: (a) a complete Records Management Manual spelling out best practices, including classification schedules, retention and disposition schedules for all non-academic departments; (b) inventorying and classification of existing paper records in all administrative offices of the University; (c) a Vital Records policy in place, with identification of vital records in each unit and development of a vital records collection at the Records Centre; and, decision on storage facilities / techniques for administrative records with lasting value.

Phase 3 (2005-) . . . concentration on academic departments and Student Services:

- Records Management Committee review of Phase 2 work with reports from subcommittees; Operations Auditor undertakes assessment of the Records Management Program, policies and Manual and reports to the Records Management Committee; University Archivist reports to the Board of Regents on progress of the program.
- Advisory Subcommittee begins discussion of electronic records phase of the Records Management Program.
- Inventory and classify records held by Student Services, Deans' Office, academic departments: Humanities, Science, Social Science, Education, Theology, and Continuing Education.
- Inventory and classify records held in Collegiate, Centres and Chairs.
- Records Management Committee undertakes review of the Records Management Program; Operations Auditor undertakes assessment of the Records Management Program, policies and Manual and reports to the Records Management Committee; University Archivist reports to the Board of Regents on progress of the Records Management Program.

At the completion of Phase 3 of the work plan, the entire campus should be under the Records Management Policy. As this will be an ongoing activity, the Records Management Committee will continue to meet with less frequency, to review, update and propose additions to the RM Program and Policy. There will be a Records Management Manual for the entire campus, as well as manuals in each department/office/unit. As new departments/offices/units are introduced to the university, they will become integrated into the Records management Program.

Future activities of the Records Management Program will include the further development of the website for purposes of informing the University community about the Records Management Program, and as a tool in the training and referral of staff charged with carrying out records management activities in University record-creating units. The website would include the Records Management Manual of best practices, the classification and retention schedules, and disposition policies. In addition, the Records Manager, who will be charged with the creation and maintenance of the website, shall use it as a forum to recommend new procedures in records management and as an information site, crating links to other university and print and electronic resources that are at the forefront of the records management field.

ACTION: **The Records Manager has created a listserv: records@uwinnipeg.ca as a communication tool (similar to a distribution list) to which all Records Coordinators will be subscribed. Members only will be able to view notices of meetings, agendas and minutes. This listserv will act as a forum for discussions between members to which reports and all kinds of records related documents can be shared to the group.**

The records listserv will be of value to your records management development, keep you current on breaking news and be the place to go to if you have any questions about information and records management (practices, legislation, new developments, how to, problems, etc.). As for mentoring and sharing of information, this listserv is closed to Records Coordinators only and embodies the Code of Ethics that calls us to encourage and help each other in an atmosphere of harmony and respect.

5. OmniRIM

The automation of time consuming daily tasks such as document routing, security and tracing can be managed through OmniRIM software. A standard and consistent environment will enable us to be more productive. Document sharing will make it possible for us to carry out our work regardless of physical location. Finally, relevant and efficient retrieval of information will be a great time saving factor in our day-to-day activities.

OmniRIM is a full-featured automated records and information management suite that manages the complete life cycle of a record, from its creation to final disposition. It has been designed with ease of use in mind and can be tailored to each user's particular application. The primary function of OmniRIM is the electronic classification and creation of records and the editing and management of those records. OmniRIM supports:

- Consistent simple user interface . . . a single Homescreen design offering menu screens to perform queries, viewing, editing and creating records. Work-oriented operator screens only display icons, menus and functionality that have been assigned to the user.
- Highest security levels . . . access and performance of the system is determined by customized interface. User screening by organizational hierarchy (e.g., Area, Location, Office, Department). Record screening by confidential flagging. Classification based screening by type of record. Institution-Wide Classification and Retention Management . . . classification scheme supports multiple schedules and five hierarchical levels (Primary, Secondary, Tertiary, Quarternary and Quintenary levels). Retention schedules can be assigned at any level of the classification hierarchy and retention periods are automatically assigned and calculated as records are created. Separate retention schedules can be designed for originals and copies. Vital records can be designated within the classification scheme and assigned a protection frequency and method for the purposes of disaster recovery. Eligibility for boxing and destruction reports can be produced for files and boxes.
- Circulation Management . . . maintains a location audit history of every file or box. Manages file and box requests including past due reports for files and boxes. File and Box requests can be monitored and printed in batches from a central location via the BatchWP application. Handles charge backs for check-in and check-out activity for files and boxes.
- Powerful Search Capabilities . . . Keyword searching using the “and”, “or” and “near” Boolean operators. Query-by-Example (QBE) allows users to search any field from the Homescreen. Query-by-Range (QBR) searching can be used for performing queries based on ranges. Query-by-location (QBL) based on boxes, locations, or users. Query Builder (Qbuilder) allows users to create personalized searches using up to ten parameters joined with “and/or” parameters – these searches can also be saved for later use.
- Intuitive Bar Coding Technology . . . online bar code scanning for folders and boxes.
- Report Generating . . . open and scalable—user definable field names for application and reports
- Shortcut Keys . . . allow the operator to perform certain functions without using the menus or toolbar.

Once the testing phase of the OmniRIM web-version software has been successfully completed, a series of demonstrations will be held in the Learning Commons Area just outside the Library. Additional hands-on training will be provided to each Unit Records Officer and respective

Records Coordinator as each unit comes under the Records Management Program. An OmniRIM Guide (Help Manual) will be distributed to each user. Onsite support is always available by calling the Records Manager at x9259 or by email j.barske@uwinnipeg.ca

6. Schedule of Meetings

The Chair suggested that a meeting would be scheduled sometime in late September.

7. Adjournment

There being no further business, the meeting adjourned. The next meeting will be at the call of the Chair.