

The University of Winnipeg
RECORDS SURVEY
Please complete and return by 10 March, 2000

Administrative or Academic Unit		
Name of Unit Head		
Position		
Telephone		e-mail:
Name of Person(s) Responsible for Records if Different from Above		

Introduction:

The purpose of this survey is to gauge the record-keeping practices of academic and administrative units in the university. It is being undertaken at this time to assist in the implementation of an infrastructure to support our responsibilities under FIPPA (Freedom of Information/Protection of Privacy Act) which has been proclaimed for the university for 3 April, 2000. A second but equally important intention of the survey is to establish a records management programme for the university, including the continued development of a university archives.

The Survey is divided into eight (8) parts, each dealing with a particular aspect of record-keeping. Each part must be answered in turn, although there will necessarily be some overlap between the sections in the information being sought, and the answers you will provide. It is important that the information provided be accurate, complete and up-to-date. We have attempted to give succinct definitions of terms and some examples of records where appropriate.

The first section (A) deals with the types of records which your unit creates/collects. This would include such things as student records, financial records, personnel records and the like. The second part of this section deals with Personal Information, in particular, Personal Information Banks, which are a special type of record collection. Think of the totality of Student Records in the Registrars Office, or Personnel Files in the Human Resources Office.

The second section (B) deals with the volume of records retained in your unit or stored in another location. This section is important because it permits record managers in the unit to assess the need for retaining records, and gets them thinking about why they retain records, and when they believe records have outlived their active purpose.

The third section (C) seeks to elicit information on how records are organized in your unit, including what sort of classification and listing schemes you employ that aid in the filing and retrieval of records.

The fourth section (D) is especially concerned with electronic records. Most of our record creation and storage activities are carried out with computers. Here we are interested in practices you employ to insure information is retained in a manner that facilitates retrieval – even retrieval in ‘x’ number of years’ time.

The fifth section (E) is really a sub-division of the fourth, e-mail. Many of us consider e-mail an important but ephemeral part of our daily activities, some of it is really of a personal nature, and some of it is junk. From a records retention perspective however, e-mail can be an important part of the manner in which the university conducts its business, so we hope that you can provide some clues as to how your unit handles e-mail records.

The sixth section (F) is titled ‘disposition’ and is concerned with ‘disposal’ of records. Immediately you will see that it seeks information that compliments that which is provided in the second section, while also attempting to discover the manner in which you arrive at decisions about how and why you dispose of records that are no longer considered useful for conducting business.

The seventh section (G) is concerned with ‘vital records’ and is concerned with the health of the university in the event of a disaster (natural or otherwise). How would your unit start up again, if all the systems crashed, if back-up tapes etc. went missing, and so on.

The final section (H) concerns policies and practices of record-keeping. Do you permit access to the information you create/collect? Have you taken special precautions against releasing personal information? This will help us to discover what kinds of university information your unit releases or publishes.

This survey is attempting to gauge the volume of **administrative** records held in the several departments and units of the University. It is not concerned with teaching materials, examination questions and research information of university members or employees. Thus records of student marks, evaluations (including reference letters) would be surveyed, but faculty research papers, lecture notes, and similar material would be excluded.

If you require additional space to answer any question please do so on a separate piece of paper with the appropriate section number (e.g., G.2) as a heading. When attaching sample forms or additional documentation, make sure they are identified with your unit name and attached to a blank sheet containing the appropriate section number (e.g., C.2).

Given the impending FIPPA deadline we are asking you to complete this questionnaire by 10 March, 2000. We will follow-up in the near future as the FIPPA deadline approaches and the records management policies and procedures are developed. In the meantime if you have any

RECORDS SURVEY

questions about the survey, or about FIPPA or records management, please contact Peter D. James, Acting University Archivist at ext. 9914, or Mark Leggott, University Librarian, at ext. 9801.

1. TYPES OF RECORDS

Definition: "Any documenting material, regardless of physical form or content, made or received by any officer, authority or department of the University that relate to the University and its business."

A.1 Indicate the major types of records created and/or retained by your unit (***check appropriate box***). Also, please indicate the approximate linear metres for each type of record (use the 'other' box for special records which you feel are not covered in the specific categories):

Approximate Linear Metres*

9 personnel records

9 CVs

9 financial records

9 student records

9 departmental files

9 policy records

9 committee records

9 correspondence

9 other (specify)

* See Appendix A for information on how to estimate this

RECORDS SURVEY

A.2 Please attach examples of all paper forms created specifically by your unit that include any personal information. (See Appendix B for definition of personal information.) Please print out examples of any computer forms that include personal information in them and attach the hard copy.

A.3 PERSONAL INFORMATION BANKS (PIBs) *(A collection of personal information that is organized or retrievable by the name of an individual or by an identifying number, symbol or other particular assigned to an individual. Think of all student records, or all employees files in Human Resources)*

Please identify all Personal Identification Banks (PIBs) created or used by your unit. Include both electronic and paper PIBs.

A.4 PERSONAL INFORMATION

Please identify any other series or groups of records in your unit (other than PIBs) that contain any type of personal information. This might include correspondence with applicants, grant and award applications, letters of reference, etc. (See Appendix B for definition of personal information.)

RECORDS SURVEY

B. RECORDS

B.1 VOLUME OF RECORDS

How many total linear metres of the following types of records are currently held by your unit? Include any records in storage. In addition, give the date spans for all three types of records (e.g., Active records, Jan. 1998-date; semi-inactive, 1992-1997, etc.)

B.1.1 ACTIVE RECORDS

(referred to or used regularly by the office in the conduct of its business)

metres

date span

B.1.2 SEMI-ACTIVE RECORDS *(referred to or used irregularly by the office, but remaining important for administrative, legal or fiscal purposes)*

metres

date span

B.1.3 INACTIVE RECORDS

(no longer required by the office for administrative, legal or fiscal purposes)

metres

date span

B.2 STORAGE OF RECORDS

Where do you keep semi-active and inactive records?

RECORDS SURVEY

B.2.1 Do you keep them in the unit?

Yes **9** No **9**

B.2.2 Do you keep them in a storage facility on campus but outside your immediate unit space?

Yes **9** No **9**

B.2.3 Do you keep them in an off-site facility?

Yes **9** No **9**

C. ORGANIZATION OF RECORDS

C.1 Do you currently use any file classification systems?

If yes, please describe. (i.e. is the classification system in a database system)

Yes **9** No **9**

C.2 Does your unit maintain a listing of any files? If yes, please attach a sample.

Yes **9** No **9**

C.3 Does your unit use retention guidelines designated by government regulation (i.e., financial, employment and other records which must be kept for a stated period)?

Yes **9** No **9**

4. ELECTRONIC RECORDS (not including e-mail)

RECORDS SURVEY

D.1 List the series or types of records that you keep primarily in electronic form (i.e. Budget spreadsheets, staff vacation spreadsheets, etc.)

D.2 Give a brief description of the contents of records kept in electronic format.

D.3 What sort of back-up procedure do you use for electronic records?

D.3.1 What media do you use for back-up?

Disk **9** Tape **9** None **9**

D.3.2 How often are back-ups performed?

Daily **9** Weekly **9** Monthly **9**

D.3.3 Have older files been backed-up in formats that will permit the retrieval of information utilizing current computer equipment?

Yes **9** No **9** Don't Know **9**

D.4 Approximately what percentage of the above are also regularly printed on paper?

%

E. ELECTRONIC RECORDS - EMAIL

E.1 Do you have any unit policies on the retention, storage and/or elimination of e-mail? If so, please describe or attach a copy of the policies.

RECORDS SURVEY

Yes **9** No **9**

6. DISPOSITION OF RECORDS

F.1 How often does your unit cull/weed/purge its active files?

Weekly **9** Monthly **9** Yearly **9**

F.2 What percentage of the material is retained as semi-active, what percentage as inactive, what percentage destroyed?

Semi-active %

Inactive %

Destroyed %

F.3 Do you have a written policy which determines the value of records deemed past their active and semi-active phases. If yes, please include a copy of your policy with this submission.

Yes **9** No **9**

F.4 Who in your unit recommends what records are to be kept and what records are to be destroyed?

F.5 Who authorizes the destruction of records in your unit?

F.6 What, if any, documentation exists on the records which are destroyed?

RECORDS SURVEY

F.7 What, if any, procedures exist for destroying confidential records from your unit?

F.8 Has your unit ever transferred records to the University Archives?

Yes **9** No **9** Don't Know **9**

F.9 Thinking back to Section B.3 on storage matters:

F.9.1 Does your unit ever have need of records that have been stored (boxed, closed filing cabinets, etc.) either on-site or off-site

ON-SITE	Yes	9	No	9
OFF-SITE	Yes	9	No	9

F.9.2 If you answered yes to the above, how frequently is retrieval necessary?

Weekly **9** Monthly **9** Yearly **9**

F.9.3 How long does it take to retrieve material?

1 hour or less **9** 1-3 hours **9** 3+ hours **9**

F.9.4 If you answered yes to either of the above, how often do you not find the file/document you are seeking?

0%-50% **9** 50%-75% **9** 75%-100 % **9**

7. VITAL RECORDS

Definition: "Vital records are those which are essential to resume or continue operations in the event of a disaster; to preserve the rights of the university's officers, employees and students; and to protect the university legally and financially."

RECORDS SURVEY

G.1 Does your unit have vital records?

Yes



No



G.2 If yes, what are they?

G.3 Are they backed up or duplicated anywhere?

Yes



No



RECORDS SURVEY

8. POLICIES AND PRACTICES

If you require additional space to answer any question please do so on a separate piece of paper with the appropriate section number as a heading. When attaching sample forms or additional documentation, make sure they are identified with your unit name and attached to a blank sheet containing the appropriate section number.

H.1 What official and/or unofficial policies or practices are used in your unit in providing access to University information? (i.e. to student files, minutes, etc.)

H.2 What official University policies, as found in the Policy and Procedures Manual, etc., involving the collection and dissemination of personal information are used in your unit?

H.3 What, if any, unofficial or in-house policies and/or practices have been created in your unit relating to the collection and dissemination of personal information? (Please attach copies of any such policies or practices.)

H.4 What kinds of University information are released or published by your unit in the normal course of its activities? (i.e. convocation programs, annual reports, etc.)

RECORDS SURVEY

APPENDIX A

Linear and Metric Conversion Chart

1 letter-size file drawer holds	61 cm
1 legal-size file drawer holds	61 cm
1 lateral-size file drawer holds	91.5 cm
1 desk-drawer file holds	61 cm
15 linear inches of letter-size files is	.280 cubic metres
12 linear inches of legal-size file is	.280 cubic metres
12 linear inches of computer printout is	.280 cubic metres
A commercial records storage box holds	.280 cubic metres

APPENDIX B

PERSONAL INFORMATION: *(recorded information about an identifiable individual including)*

- a) the individuals name
- b) the individual's home address, or home telephone, facsimile or e-mail number,
- c) information about the individuals's age, sex, sexual orientation, marital or family status,
- 4) information about the individual's ancestry, race, colour, nationality, or national or ethic origin,
- 5) information about the individual's religion or creed, or religious belief, association or activity,
- 6) personal health information about the individual,
- a) the individual's blood type, fingerprints or other hereditary characteristics,
- b) information about the individual's political belief, association or activity,
- i) information about the individual's education, employment or occupation, or educational, employment or occupational history,
- j) information about the individual's source of income or financial circumstances, activities or history,
- k) information about the individual's criminal history, including regulatory offences,
- l) the individual's own personal views or opinions, except if they are about another person,
- m) the views or opinions expressed about the individual by another person, and
- n) an identifying number, symbol or other particular assigned to the individual."

Note: This survey is based on similar work carried out at the University of Manitoba. Their assistance is gratefully acknowledged.