

TITLE
Electronic Records Management
Best Practices

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PURPOSE

1.00 These Best Practices outline how University staff can consistently manage Electronic Records in any format or platform, including but not limited to electronic mail, network drives, or work collaboration software (SharePoint).

Records Management is the application of systematic control to the creation, use, maintenance, storage, retrieval, Disposition, and preservation of all forms of recorded information produced by the university in the conduct of its operations. The most fundamental point is that Records that exist in an electronic format are subject to the

same management concerns as Records in analogue formats: what Records must be retained, who is responsible for keeping them, and for how long. From a broad perspective the answers will be the same for any format: the Primary Office for the Record type keeps the described Records for the established retention period, then disposes of them in the prescribed manner.

It is the particular characteristics of the electronic format: easy duplication, mass distribution, individual features of the creating or housing software, and sheer volume that complicate the effectiveness of Records Management activities.

DEFINITIONS

- 2.00 The definitions contained in the university's [Records Management Policy \(IM7700\)](#) and [Procedures for the Management of University Records](#) apply to these Best Practices. See the policy and procedures for further definitions.
- 2.01 **Active Records** are Records that are maintained and used by a Unit or Units for current business.
- 2.02 **Authorized Disposition** means a Disposition of Inactive Records carried out with the approval of the University Archivist and the Unit's Administrative Authority (see also Disposition definition in IM7700).
- 2.03 **Directory of Records** is the university-wide classification, retention and Disposition plan that arranges Records according to the functions of the university and identifies these functional groups by a block-numeric system for the efficient access, retrieval and Disposition of Records.
- 2.04 **Disposition** means disposal of Records no longer needed for day-to-day operations by a Unit, through destruction, secure destruction, or transfer to the university archives.
- 2.05 **Electronic or Digital Record** is a document created or received and set aside in the day-to-day operations of business, is recognizable to the human eye only through the interpretation of a computer or other digital device that contains a microprocessor. Electronic Records can be created in word processing, spreadsheet, presentation or other software, and include scanned and born digital Records (those that are created and managed in digital format only) as well as photographic, audio, and video files.
- 2.06 **Legacy information** means an accumulation of Semi-active or Inactive Records that have never been classified according to the Directory of Records structure, and their Disposition has not been carried out. These Records can be Substantive or Transitory.
- 2.07 **Primary Office** is an office or offices responsible for keeping the original and/or official versions of Records, and responsible for carrying out the approved Disposition of such Records.

- 2.08 **Record-keeper** is the person identified formally in a group, working unit, committee, or Unit who is responsible for ensuring that Substantive Records are retained according to the Directory of Records and that Transitory Records are deleted as appropriate.
- 2.09 **Records Management** means the application of systematic control to the creation, use, maintenance, storage, retrieval, Disposition, and preservation of all forms of recorded information produced by the university in the conduct of its operations.
- 2.10 **Retention Rules** are the instructions in the Directory of Records to Primary and Secondary Offices regarding the length of time for which Records should be kept.
- 2.11 **Semi-active Records** are Records that are required infrequently for current business.
- 2.12 **Shared drive or network drive** means a file structure of folders and subfolders shared on a University-managed network between two or more network users.
- 2.13 **Substantive Records** are Records that act as evidence of the Unit's actions, transactions, decisions, and policies.
- 2.14 **Transitory Records** are Records of temporary usefulness, required only for a limited period of time for the completion of a routine action or the preparation of an ongoing Record. Transitory Records do not include those Records required to meet statutory obligations, or to sustain administrative or operational functions. Transitory Records may include drafts, notes, calculations, and superseded documents.
- 2.15 **Unit** means academic or administrative areas at the university, including but not limited to: faculties, departments, divisions, offices, schools and centres.

SCOPE

- 3.00 These Best Practices apply to university Records created to support the University's teaching and administrative business including those existing on the University's central information systems, including but not limited to electronic mail, network drives, or web-accessible work collaboration software.

BEST PRACTICES

General Principles of Electronic Records Management for University Records

- 4.00 [UVic Records Management Policy](#) (IM7700), the university's Records Management policy and procedures provide direction on the creation, use and disposition of university Records, access to the Records, and define authorities, responsibilities and accountabilities for Records Management.

University Records must remain under the control of the university. Confidential university business information and personal information requiring privacy protection should therefore not be maintained outside the university's information systems. Always use UVic Information Systems and Information Resources including e-mail accounts, computers, and servers/shared drives, i.e. NOT Gmail, GoogleDocs or other unapproved cloud-based services¹ for university administrative business.

The B.C. *Freedom of Information and Protection of Privacy Act* (FIPPA) applies to all Records in the custody or under the control of UVic. The university is obligated to ensure that applicants receive any records to which they are entitled under FIPPA. If any university employee receives a Freedom of Information (FOI) request, that employee **MUST NOT** delete any records responsive to that request. Contact the Access Officer in the Office of the University Secretary for information about FOI requests.

- 5.00 There are three major steps in the management of Records.

5.01 Organize

- File Electronic Records according to the classifications in the [Directory of Records](#) (DOR) in order to establish basic institutional control over these resources. This includes electronic mail (e.g. Microsoft Exchange accessed through Microsoft Outlook) and Records saved on network drives (e.g. Netdrive) and Connect sites.
- The Directory of Records provides rules on how long to retain Records and information and when to dispose of them. At a minimum, DOR can be used to organize top-level folders. Under the DOR university Records are arranged by functional categories and Retention Rules are provided. If the Retention Rule is not complete, contact the Records Management Archivist for guidance.

5.02 Manage

- Assess your Unit's Records regularly to determine if they are Substantive (and therefore filed according to the Directory of Records) or Transitory (and therefore are to be destroyed when no longer needed).
- Use top-level folders based on function, subject, activity or project and second-level folders based on chronology (year) or another significant factor that defines the Records. These types of organization facilitate searching and retrieval; they

¹ Meaning the use of a cloud service that has not reviewed through a Privacy Impact Assessment.

also enable simple, annual Disposition by applying Retention Rules to entire folders.

- Manage Legacy Information: depending on the volume and type, accumulations of old, unclassified Records might not require classification before disposal. Contact Archives and Records Management staff (see 12.00 below) for strategic advice on how to manage these Records.

5.03 Dispose

- All Records not identified for permanent retention will be destroyed according to Retention Rules in the Directory of Records.
 - Records are Substantive or Transitory.
 - Transitory records may be destroyed when no longer needed.
 - Substantive Records will be disposed of according to Retention Rules. Note that Primary Offices, as identified in DOR, must apply for disposal of non-Transitory Records.
 - See section 20.00 of the [Procedures for the Management of University Records](#) for further information on Disposition of Inactive Records.
- Records that are identified for permanent or selective retention will be transferred to the University Archives when their Retention Rule is up. See [Appendix B](#) for a list of these Records.
- See the [Guidelines for Secure Destruction and Deletion of University Records and Information](#) for appropriate methods of secure destruction of Records and devices.

E-Mail Management

6.00 Managing e-mail Records enables the University to meet its administrative needs, legal obligations, and to retain its corporate memory.

There are two central challenges associated with managing e-mails:

- **The ability to share the information that is retained in e-mail.** We share information readily in paper files, on shared drives or on a SharePoint site, but e-mail itself is a closed environment because access tends to be restricted to a single account holder. Although it's possible to cc or forward to interested parties, that information is generally used for a short amount of time; as time passes and personnel change, the information is frequently no longer readily accessible, even though the information is still relevant and valuable.
- **The ability to apply Retention Rules.** If Retention Rules are not applied, e-mail accumulates and overwhelms. There is no single "e-mail" Retention Rule. Each e-mail is a separate Record that must be retained for the length of time prescribed in the applicable [DOR series](#).

6.01 Principles of E-mail Management

- Consider e-mail as a mailing system, not storage or preservation system.
- E-mail cannot be classified or disposed of based purely on its format as an electronic message. Further, Microsoft Outlook is not designed to serve as a Records

Management system and therefore is not suitable for long term storage of e-mail Records.

- Delete Transitory e-mails.
- Manage Substantive e-mails to ensure they are shared with those who need to know, and to ensure it is possible to apply Retention Rules. (See [Appendix A](#) for options).

6.02 E-mail Security

- Ensure smartphones and mobile computing devices are, at a minimum, password-protected in order to protect your e-mail account from unauthorized access.
- Do not open unexpected attachments, and never respond to an e-mail asking for personal account information.
- For more information on Information Security, see the University Systems help centre page at <https://www.uvic.ca/systems/support/informationsecurity/index.php>

6.03 What to keep

When evaluating what e-mails to keep, the same principles that apply to paper Records or other Electronic Records apply to e-mail:

<http://www.uvic.ca/library/locations/archives/documents/records-to-keep.pdf>

The following questions aid in deciding which e-mails to keep.

- Could the e-mail be used as evidence of an action or a decision about an individual, a program, project, etc.?
- Does the e-mail contain information that will be used as a basis for future decisions?
- Does the e-mail require or authorize an important course of action?
- Does the e-mail approve formal policy or set a precedent?
- Does the e-mail detail any obligations or responsibilities of the University?
- Does the e-mail protect the rights or assets of the University or its stakeholders?
- Is your unit primarily or jointly responsible for maintaining the original, authoritative Record about the individual, program, project etc?

Further examples of substantive e-mails include: discussions and recommendations relating to programs, students, personnel and policies that are not of a routine nature; substantial information about the unit, its personnel, students or programs; and/or actions, decisions or commitments of the unit.

If the answer to any of these questions is 'yes,' the e-mail and any attachment(s) should be kept for its appropriate retention period.

If the answer to all of these questions is 'no,' then the e-mail should be deleted when it is no longer useful (Transitory), or when its retention period is finished.

In many cases it may not be immediately apparent whether the particular e-mail is Substantive or Transitory. Many e-mails form part of a consultation, project, case file, or similar ongoing action or subject. They may over time be recognized as the ultimate statement on a particular thread (and therefore Substantive) or be superseded by a subsequent Record (in which case Transitory). If that is the case, file the e-mail as a Substantive e-mail and over time (periodically or at the close of the project) review the contents of the folder for Records that can be recognized as Transitory.

6.04 Transitory E-mails

These are only required for a limited period of time for the completion of an action, the preparation of an ongoing Record, or are purely for informational purposes.

A few examples of Transitory Records include: meeting arrangements, information about upcoming events, working drafts, holiday notices, convenience copies, and listserv messages.

It is the case that Transitory Records may be useful over an extended time – although they are eligible to be destroyed at any time, their usefulness may lead to their retention – for example, convenience copies of Substantive Records, a list of hyperlinks to websites, or the citation of a particular reference. It should be noted, however, that convenience copies of Records must not be kept longer than the established Retention Rule for the authoritative (i.e., Primary Office) copy of the Record.

6.05 E-mail Organization and Storage

E-mail cannot be classified or disposed of purely based on its format as an electronic message. Furthermore, Microsoft Outlook is not designed to meet international records management standards and therefore is not suitable for long-term storage of e-mail Records.

Organizing first by DOR's functional category, activity, or project and then by chronology or another significant factor that defines the Records is recommended over using only the inbox and sent folders. In this way, Substantive e-mails can be maintained in Outlook if necessary (for their retention period) while keeping the inbox and sent folder contents at a minimum.

6.06 Saving E-mails and Attachments

Depending on the Unit and its responsibilities at the university, the e-mails created may or may not be designated for permanent preservation by the Archives; the vast majority will not be. For a list of records series with permanent Retention Rules, please see [Appendix B](#). These Records Series will contain, like all others, Substantive and Transitory e-mails. Transitory e-mails should be deleted prior to transfer to the Archives.

A document attached to an e-mail is usually a vital component of that e-mail. It is important that attachments are kept with or remain associated with any e-mail that is Substantive. See [Appendix A](#) for methods of saving e-mail.

6.06 Confidentiality of E-mail Records

Do not use non-UVic e-mail accounts for university business. University Records must remain under the control of the university. Confidential business information and personal information requiring privacy protection should therefore not be maintained outside the university's information systems.

Under FIPPA, the university must store and access personal information in its custody or under its control only within Canada, unless the individual the information is about has consented to the particular instance of storage and access in another jurisdiction. Many webmail services operate on servers based in the U.S. and use of those services for e-mail containing personal information would contravene FIPPA.

Create e-mails and organize files with access in mind. Be objective and factual when writing about individuals.

Set up Unit practices for managing confidential e-mails, including the following:

- develop an explicit statement of confidentiality for your office's internal policies and procedures and
- have the statement reflected within the body of the communication by an explicit request for confidentiality from the sender (in addition to the usual e-mail footer); and
- send e-mail only to those persons permitted by procedure to have access to the confidential information.

Be aware that certain access provisions of FIPPA may take precedence over confidentiality.

Document naming conventions

7.00 All Records should be named consistently and concisely. This allows for easier identification of the content and context of the document, enables faster sorting and retrieval, and ensures future accessibility to the information. What follows are typical elements of a document name and a suggested arrangement for their use. A Unit may well decide to re-arrange these elements (placing date first to permit sorting by date, for instance) or incorporate identifiers specific to the record type (project names, contract numbers, etc.)

Whichever arrangement is chosen, it is critical that this choice be documented and adopted by the entire work group or Unit.

7.01 A typical document name contains four elements:

1. Subject,
2. Document Type
3. Date
4. Version

- Do not use blank spaces between elements.
- Use a hyphen or underscore as in the following example: "Stewart-GUI", "Stewart_GUI"
- Do not use punctuation

There are also Optional Naming Elements described in 7.06. below.

7.02 Subject

Use CamelCase or medial capitals, joining words without spaces

- NoSpacesBetweenWords
- CapitalizeNewWords

Example: ElectronicRecordsManagement
 RetirementAge

- Use abbreviations where possible

Example: ERecsMgmt
 RtrmntAge

NOTE: Windows limits the file path including the file name to 260 characters, however the Shared Drive letter identification ("G:") may itself be an abbreviation of 100 characters depending on where and how that location is configured.

7.03 Document Type

Use one of the abbreviations below to identify the document type. If there isn't a document type below that your Unit requires, develop new abbreviations internally. Document your abbreviations.

AGD (Agenda)	LST (List)
AGR(Agreement)	MEM (Memo)
BRN (Briefing Note)	MIN (Minutes)
CPA (Cover Page)	MTG (Meeting)
CON (Contract)	NTS (Notes)
CHT (Chart)	PLN (Plan)
DKT (Docket)	POL (Policy)
EXA (Example)	PRS (Presentation)
FRM (Form)	PRC (Procedure)
GRA (Grant)	RPT (Report)
GUI (Guidelines)	SCH (Schedule)
IDX (Index)	SPE (Speech)
LTR (Letter)	SUM (Summary)
	SUP (Supplement)

7.04 Date

Include the creation or major revision date of the Record. Use the international standard format of YYYYMMDD with no hyphens

- Example: 20120416

7.05 Version Control

Track version changes by recording the major and minor revisions of your document.

- A major version includes changes in decision, reorganization of content or presentation.
- A minor revision includes correction of typos, style, small additions or deletions.
- Versioning can be recorded like so: v1-2 (1=major version, 2=minor revision)
- Examples: v1-1
v2-4
- The use of version numbers indicates the document is a draft.
- "FINAL" in the title or no Version number indicates the document is final.

Note: Use "DRAFT" as a watermark, not as part of a file name.

7.06 Optional Naming Elements

7.06.1 Editor's initials - When multiple people are editing a document and submitting edits to one individual or shared storage location, add the editor's initials instead of changing the version number. Add initials after the version control element.

- Example: v2-3jm

7.06.2 Declaring final version - Replace the version control element with FINAL when the document is finished.

7.06.3 Correspondence - When writing a letter using the document type LTR, include the organization or individual (if no organization) receiving the letter. Either replace the subject with the organization or individual's name or add it before the subject element. For example,

- Individual names should be formed as last name and first initial, e.g. SmithM
- Acronyms for organizations can be internally generated, e.g. MEnv = Ministry of the Environment
- For received correspondence, use the abbreviation 'rcvd', e.g. SmithMrcvd
- Examples: TentCaterpillars-MEnv-LTR-20120625-v1-1.doc
SmithMrcvd-LTR-20120328-v1-1.doc

7.07 Examples

Here are some examples of how the naming convention would look in the shared drive structure or as a footer in a document:

G:/Governance/GV330-Policies/Guidelines/ERecs_BP_20150831_v1-1.doc

G:/Governance/GV330-Policies/Guidelines/ERecs_BP_20150831-FINAL.doc

H:/HumanResources/HR145 Equity Issues/HR145-02 Equity Compliance Report/2012/RetirementAge-MEM-20100125-v3-4.pdf

You may find this illustration helpful for creating document names:

Shared Drive File Management

- 8.00 University Records must be filed in the appropriate shared drive using the structure provided in the Directory of Records. Create a file structure that maps the Unit's shared drive folders to the paper folders. Note that while some Units do not presently have a shared drive, it is the university's goal for all Units to be supported by central services.
- 8.01 Roles & Responsibilities
- Units – maintain their Shared File Structure by: schedule an annual clean-up; follow document naming conventions (see 7.00.); train new staff
 - All staff - responsible for filing records into a shared drive structure
 - Record-keeper – designated within an organizational Unit to create the shared drive structure for that Unit based on the Directory of Records.
 - Information Technology staff – responsible for granting permissions to appropriate staff for access to a shared drive.
 - Records Management Staff – available for technical advice and guidance to end-users and record-keepers alike.
- 8.02 Identify unwanted Records and folders
- End-users should identify content to be removed from the shared drive; this may include such Transitory Records as:
 - Temporary files
 - Duplicates
 - Personal files with no business value
 - Drafts with no historical, administrative or operational value
- 8.03 Review and dispose of Legacy Information.
This may consist of folders established by previous employees, folders covering responsibilities since transferred to other offices or records kept "just in case."
- Establish a deadline for reviewing files
 - Review files as a group
 - Consult with Archives and Records Management staff (see 12.00 below) for strategic advice on how to manage these Records.
- 8.04 Manage remaining Records and files by filing them according to the DOR
- Identify the function to which the folder or Record relates
 - Find that function within the Directory of Records
 - Find the series within the function that best matches the Record's action, content or source
 - File the Record in the year in which it was created or by another significant factor that defines the Records.
- 8.05 Example

Jane wants to file a report on the admissions of extra-terrestrials. She would file it in the following location:

/Student Records

/SR190-02 Grade Reporting – Examination questions

/SR190-04 Grade Reporting – Examination answer papers

/SR375-02 Reports and Statistics

/2010

/2011

/2012

ExtraterrestrialsAdmissions-RPT-20120413-FINAL.doc

As footer on the report, the location and name would appear as:

H:/Student Records/SR375-02 Reports and Statistics/2012/ExtraterrestrialsAdmissions-RPT-20120413-FINAL.doc

Web-accessible Work Collaboration software (Connect – SharePoint 2013)

- 9.00 Connect is the web-accessible work collaboration software used by the university. Units can use a site in Connect to communicate and to work on documents or projects, and share resources.
- 9.01 Whether Records are stored in a library or in a list, you can use the same folder and document naming conventions that you would use to manage them on your shared network drives (see 8.00 above).
- 9.02 Completed and finalized electronic Records should be stored in the appropriate place on a University managed system, either the shared network drive or a Connect site. Storing records in either of these locations obligates the Administrative Authority to ensure records are managed in accordance with the [Records Management Policy IM7700](#). The Governance policies established for Connect are located here:
- <https://connect.uvic.ca/help/SitePages/Governance%20Policies.aspx>
- 9.03 It is the responsibility of the Site Manager to ensure all Substantive Records (including working drafts) are managed according to the [Records Management Policy IM7700](#). This includes the deletion of all Transitory Records, and the disposition of records according to the approved retention schedules as established in University Directory of Records. Note that if yours is the Primary Office for the records, you will need to follow the records disposition procedures described here:
http://www.uvic.ca/library/locations/home/archives/documents/Records_Disposition_RIB_Final.pdf
- 9.04 When a Connect site is discontinued, no Records should be left on the Connect site.

Other Resources

10.00 Imaging (scanning)

Please refer to “Procedures for the Imaging of University Records” (forthcoming or contact Archives in the meantime) for more information. The procedures apply to Imaging Programs that will dispose of the Source Records once they have been imaged and all control procedures followed.

An imaging program copies original or Source Records from paper to digital form. In order to make sure that Records that have been imaged are acceptable as evidence a Unit must show that the program is well organized, with quality control in place.

If your Unit is considering imaging a series of Records with the intent of disposing of the paper Source Records, you must obtain the approval of your Unit’s Administrative Authority, the University Archivist and the University Secretary (the last, for vital records and records deemed critical by the University Archivist).

RELATED POLICIES AND DOCUMENTS

11.00 In addition to these best practices, please also refer to the following:

- Policy IM7700: Records Management Policy:
http://www.uvic.ca/shared/shared_usec/docs/policies/IM7700.pdf
 - Includes the Procedures for the Management of University Records and Procedures for Access to and Correction of Information
- Policy IM7200: Responsible Use for Information Technology Services:
http://www.uvic.ca/shared/shared_usec/docs/policies/IM7200_6030.pdf
- Policy GV0235: Protection of Privacy Policy:
http://www.uvic.ca/shared/shared_usec/docs/policies/GV0235.pdf
- The Directory of Records (DOR):
<http://www.uvic.ca/dor>
- Connect Governance Policies
<https://connect.uvic.ca/help/SitePages/Governance%20Policies.aspx>
- Information Security Policy
<https://www.uvic.ca/universitysecretary/assets/docs/policies/IM7800.pdf>

RESPONSIBLE OFFICE

12.00 Archives and Records Management staff are available to assist you. We are located in McPherson Library/Mearns Centre. We are happy to visit your office to discuss records management.

David Young, Records Management Archivist
(250-721-8275) / dayoung@uvic.ca

Jane Morrison, Associate University Archivist
(250 721-8258) / jmorriso@uvic.ca

Lara Wilson, Director, Special Collections and University Archivist
(250 472-4480) / ljwilson@uvic.ca

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13.00 UVic Archives thanks the InterPARES Project - TEAM Canada, and the UBC Graduate Research Assistants who worked on the UVic case study for the development of e-mail guidelines, and the staff of the Office of the University Secretary for their participation in the case study. http://interpares.org/ip3/ip3_index.cfm

Appendix A

Saving E-mails and Attachments

These Best Practices are designed to help users make decisions about saving and accessing e-mail messages and downloaded attachments while minimizing duplication and reducing version control mistakes.

There are 4 different ways currently available for e-mails to be shared and managed as university records (in recommended order):

1. File as .msg to organized folders on the shared drive or Connect

Pros	Cons
Simple – drag and drop	"Header" metadata (To, From, Date) not indexed by Windows and therefore not searchable – i.e. "all e-mails from X" yields no results*
Reduces the number of places to search for records	
Can open and use e-mail records directly from Windows Explorer	
Manages electronic records as electronic records	

*this information is searchable in Connect.

2. File as .pdf to organized folders on the shared drive (requires Adobe Pro)

Pros	Cons
Reduces the number of places to search for records	Requires Adobe Pro to transfer whole folders
Can PDF entire folders at a time	Can't convert back to .msg to forward the e-mail
Can open and use Records directly from Explorer/shared drives	
Attachments are also PDF'd and remain with the e-mail message	
Manages electronic records as electronic records	

3. Use a shared e-mail address (role-based account) and organize folders within the e-mail application.

Pros	Cons
Simple – easy to understand	Requires commitment, co-ordination from all participating staff
Reduces the number of places to search for e-mail records	Requires an extra location to have to manage disposition

Appendix A

Saving E-mails and Attachments

Manages electronic records as electronic records	
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4. Print and file

Pros	Cons
Simple – easy to understand	An extra step – print then file
Stable – archival quality	Can't reproduce the e-mail from the print version – i.e. to forward
Reduces the number of places to search for records	Liable to create "to be filed" piles
	Not managing electronic records as electronic records

Appendix B
University of Victoria – Directory of Records – records series with permanent retention (transfer to Archives)

DOR section and number	Series title	Retention – full or selective	Rule approved or to be determined?	Primary Office(s)
AD - Administration				
AD005	Administrative Planning and Reporting	Selective	Approved rule (2014)	All offices
AD020	Associations and Societies	Selective	Approved rule (2014)	All offices
AD035-30	Auditing – External Audits, Reviews, and Investigations	Selective	Approved rule (2014)	All offices
AD070	Ceremonies and Events co-ordination	Selective	TBD	Ceremonies
AD080	Committees	Selective	Approved rule (2014)	Office of the Chair or Secretary of the Committee
AD090	Contracts and Agreements	Selective	TBD	All Units
AD165	Fundraising	Selective	TBD	External Relations, President
AD165-20	Fundraising – donor case files	Selective	TBD	External Relations
AD185	Government Liaison	Selective	TBD	President, VPFO, VPAC, USEC, Co-op
AD310	Equipment and Supplies Control	Selective	Approved rule (2014)	All offices
AD320	Photo Services	Selective	TBD	Photo Services
AD360	Records Disposition	Selective	TBD	University Archives
AD365	Records Management	Selective	TBD	University Archives
BP – Buildings and Properties				
BP050	Buildings Maintenance	Selective	TBD	FMGT
BP065	Campus Planning	Selective	TBD	FMGT
BP230	Utilities	Selective	TBD	FMGT
BP275	Properties Maintenance	Selective	TBD	FMGT

Appendix B
University of Victoria – Directory of Records – records series with permanent retention (transfer to Archives)

FM – Financial Management				
FM060-20	Budget	Full	TBD	Budget
FM140-02	Endowment Management	Selective	Approved rule (2000)	ACCT, Development
FM140-30	Endowment case files	Full	Approved rule (2000)	ACCT
FM155-04	General Ledger	Selective	Approved rule (2000)	ACCT
FM225-02	Insurance Policy	Selective	Approved rule (2000)	ACCT
FM225-20	Insurance Claim case files	Selective	Approved rule (2000)	ACCT
Revise: FM330-02	Pension Plan Agreements	Full	Approved rule (1997)	ACCT, Pensions
Revise: FM330-04	Minutes of Pension Plan Boards and Committees	Full	Approved rule (1997)	ACCT, Pensions
FM375-04	Financial Statements	Full	Approved rule (2000)	ACCT
FM375-08	Statistical Reporting	Selective	TBD	ACCT, Institutional Analysis
GV - Governance				
GV020	Chancellor	Selective	Approved rule (2015)	USEC
GV060-03	BOG Administration	Selective	Approved rule (2015)	USEC
GV060-20	BOG – Dockets and Minutes	Full	Approved rule (2015)	USEC
GV065	BOG Committees – Dockets and Minutes	Full	Approved rule (2015)	USEC
GV075-06	Published Calendar	Full	Approved rule (1997)	USEC
GV085-06	Convocation Programs	Full	Approved rule (1997)	USEC
GV140	Convocation Roll Administration	Selective	Approved rule (2015)	USEC
GV145-04	Faculties – Minutes	Full	Approved rule (1997)	Faculties
GV145-20	Faculties – Dockets	Full	Approved rule (1997)	Faculties
GV160	Elections	Selective	Approved rule (2015)	USEC, Offices in charge of election or ratification
GV260-20	Contracts, Leases and Agreements	Selective	Approved rule (1998)	President, VPAC, VPFO, VPRE, USEC
GV260-30	Freedom of Information Requests	Selective	Approved rule (2015)	USEC
GV260-35	Privacy	Selective	Approved rule (2015)	USEC
GV260-40	Human Rights case files	Selective	Approved rule (1998)	USEC, VPFO (General Counsel)

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GV260-50	Land Titles	Full	Approved rule (1998)	USEC, President, VPFO, FMGT
GV260-60	Legal Actions and Judgements	Full	Approved rule (1998)	VPFO (General Counsel), USEC
GV260-70	Legal Opinions	Full	Approved rule (1998)	President, USEC, VPFO (General Counsel), VPAC, VPFO
GV330-02	Policies and Procedures	Selective	Approved rule (2015)	USEC
GV415	Senate Administration	Full	Approved rule (2015)	USEC
GV415-20	Senate – Dockets and Minutes	Full	Approved rule (2015)	USEC
GV420-00	Senate Committees Administration	Full	Approved rule (2015)	USEC
GV420-10	Senate Committee on Agenda and Governance	Full	Approved rule (2015)	USEC
GV420-15	Senate Committee on Planning	Full	Approved rule (2015)	VPAC, USEC
GV420-20	Senate Committee on Curriculum	Full	Approved rule (2015)	OREG, USEC
GV420-25	Senate Committee on Academic Standards	Full	Approved rule (2015)	USEC
GV420-35	Senate Committee on Appeals	Selective	Approved rule (2015)	USEC
GV420-40	Senate Committee on Awards	Selective	Approved rule (2015)	OREG - SAFA, USEC
GV420-45	Senate Committee on Learning and Teaching	Full	Approved rule (2015)	USEC
GV420-50	Senate Committee on Continuing Studies	Full	Approved rule (2015)	Continuing Studies (Dean's Office), USEC
GV420-55	Senate Committee on Libraries	Full	Approved rule (2015)	University Librarian's Office, USEC
GV420-60	Senate Committee on Honorary Degrees and Other Forms of Recognition	Full	Approved rule (2015)	USEC
GV420-65	Senate Committee on University Budget	Full	Approved rule (2015)	USEC

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GV420-70	Senate Ad Hoc Committees	Selective	Approved rule (2015)	USEC
HR – Human Resources				
HR010-20	President Search case files	Selective	Approved rule (2015)	USEC
HR010-40	Senior Administrative Search case files	Selective	Approved rule (1995)	President, VPAC, VPFO, Faculties, Academic Units
HR020-20	Continuing/ Regular Employees	Selective	Approved rule (2016)	VPAC (Faculty), HR (Other staff), Departmental Offices (while active)
HR030-20	Performance Files: Regular Faculty and Librarians	Selective	Approved rule (2016)	Deans, Chairs, University Librarian, VPAC
HR110-20	Job Description files	Selective	Approved rule (2016)	HR
HR120-35	Arbitration	Full	Approved rule (2016)	HR, President, Vice-Presidents
HR120-40	Appeals	Full	Approved rule (2016)	HR, President, Vice-Presidents
HR120-45	Grievances	Selective	Approved rule (2016)	HR, VPAC (Faculty & Librarians)
HR145-02	Equity Compliance reports	Full	Approved rule (1995)	VPFO (General Counsel)
HR145-20	Equity Issues case files	Selective	Approved rule (1995)	VPFO (General Counsel), VPAC, President (old files)
HR375-02	General Reports	Selective	Approved rule (1995)	VPAC, HR, VPFO, ACCT, Institutional Analysis
LA – Libraries, Archives and Museum				
LA040	Archives Services	Selective	TBD	University Archives

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LA085	Collection Development and Maintenance	Selective	TBD	University Librarian
LA185	Gifts and Exchanges	Selective	TBD	University Librarian
LA295	Museum and Gallery Management	Selective	TBD	Maltwood Art Museum and Gallery
RE – Research				
RE020	Research Contracts and Agreements	Selective	TBD	ORS
RE030	Human Research Ethics	Selective	TBD	ORS, VPRE for MOUs and agreements
RE040	Animal Care	Selective	TBD	ORS
RE060	Research Support	Selective	TBD	ORS, VPRE, EXTR, VPFO (General Counsel)
RE070	Research Centres	Selective	TBD	VPRE, Centres and Institutes
SR – Student Records				
SRO90	Student Awards	Selective	<i>Approved rule (2017)</i>	SAFA, Office responsible for administration of award
SR100-02SR100-02	Examination Questions	Selective	Approved rule (2017)	Registrar, Academic Units
SR200	Reports and Statistics	Selective	Approved rule (2017)	Registrar, VPAC, Institutional Analysis, Co-op
SR030-20	Student Academic Records – Undergraduate	Selective (Retain records in Banner)	Approved rule (2017)	OREG, Academic Units, Deans
SR030-30	Student Academic Records – Graduate Students	Selective (Retain records in Banner)	Approved rule (2017)	Graduate Admissions and Records
SR030-40	Student Academic Records – Continuing Studies Students	Selective	Approved rule (2017)	Continuing Studies

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SS – Student Services				
SS045	Athletic Services	Selective	TBD	Athletics and Recreational Services
SS085-20	Counselling case files	Selective (Keep if there are legal proceedings)	Approved rule (1997)	Counselling Services
SS205-20	Health Services – Client case files	Selective (Keep if there are legal proceedings)	Approved rule (1997)	University Health Services
SS250-20	International & Exchange Student Services – Exchange Student case files	Selective (15 year selection)	Approved rule (1997)	Student Affairs
SS445-20	Special Student Services – Deceased Student case files	Full	Approved rule (1997)	Student Affairs
SS445-30	Special Student Services – Disabled Student case files	Selective (15 year selection)	Approved rule (1997)	Student Affairs
SS445-40	Special Student Services – Student Non-academic Discipline case files	Selective (15 year selection)	Approved rule (1997)	Student Affairs
TP – Teaching Programs				
TP010	Academic Liaison Services	Selective	TBD	VPAC, Co-op, Faculties
TP015	Accreditation	Selective	TBD	Engineering, Human and Social Development
TP085	Continuing Education Programs	Selective	TBD	Continuing Studies
TP090	Co-operative Education	Selective	TBD	Co-op, VPAC, Academic Units
TP130	Departmental Review	Selective	TBD	VPAC
TP335	Program Development	Selective	TBD	VPAC, Co-op, Faculty and Academic Units

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DOR section and number	Series title	Retention – full or selective	Rule approved or to be determined?	Primary Office(s)
AD - Administration				
AD005	Administrative Planning and Reporting	Selective	Approved rule (2014)	All offices
AD020	Associations and Societies	Selective	Approved rule (2014)	All offices
AD035-30	Auditing – External Audits, Reviews, and Investigations	Selective	Approved rule (2014)	All offices
AD070	Ceremonies and Events co-ordination	Selective	TBD	Ceremonies
AD080	Committees	Selective	Approved rule (2014)	Office of the Chair or Secretary of the Committee
AD090	Contracts and Agreements	Selective	TBD	All Units
AD165	Fundraising	Selective	TBD	External Relations, President
AD165-20	Fundraising – donor case files	Selective	TBD	External Relations
AD185	Government Liaison	Selective	TBD	President, VPFO, VPAC, USEC, Co-op
AD310	Equipment and Supplies Control	Selective	Approved rule (2014)	All offices
AD320	Photo Services	Selective	TBD	Photo Services
AD360	Records Disposition	Selective	TBD	University Archives
AD365	Records Management	Selective	TBD	University Archives
BP – Buildings and Properties				
BP050	Buildings Maintenance	Selective	TBD	FMGT
BP065	Campus Planning	Selective	TBD	FMGT
BP230	Utilities	Selective	TBD	FMGT
BP275	Properties Maintenance	Selective	TBD	FMGT

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FM – Financial Management				
FM060-20	Budget	Full	TBD	Budget
FM140-02	Endowment Management	Selective	Approved rule (2000)	ACCT, Development
FM140-30	Endowment case files	Full	Approved rule (2000)	ACCT
FM155-04	General Ledger	Selective	Approved rule (2000)	ACCT
FM225-02	Insurance Policy	Selective	Approved rule (2000)	ACCT
FM225-20	Insurance Claim case files	Selective	Approved rule (2000)	ACCT
Revise: FM330-02	Pension Plan Agreements	Full	Approved rule (1997)	ACCT, Pensions
Revise: FM330-04	Minutes of Pension Plan Boards and Committees	Full	Approved rule (1997)	ACCT, Pensions
FM375-04	Financial Statements	Full	Approved rule (2000)	ACCT
FM375-08	Statistical Reporting	Selective	TBD	ACCT, Institutional Analysis
GV - Governance				
GV020	Chancellor	Selective	Approved rule (2015)	USEC
GV060-03	BOG Administration	Selective	Approved rule (2015)	USEC
GV060-20	BOG – Dockets and Minutes	Full	Approved rule (2015)	USEC
GV065	BOG Committees – Dockets and Minutes	Full	Approved rule (2015)	USEC
GV075-06	Published Calendar	Full	Approved rule (1997)	USEC
GV085-06	Convocation Programs	Full	Approved rule (1997)	USEC
GV140	Convocation Roll Administration	Selective	Approved rule (2015)	USEC
GV145-04	Faculties – Minutes	Full	Approved rule (1997)	Faculties
GV145-20	Faculties – Dockets	Full	Approved rule (1997)	Faculties
GV160	Elections	Selective	Approved rule (2015)	USEC, Offices in charge of election or ratification
GV260-20	Contracts, Leases and Agreements	Selective	Approved rule (1998)	President, VPAC, VPFO, VPRE, USEC
GV260-30	Freedom of Information Requests	Selective	Approved rule (2015)	USEC
GV260-35	Privacy	Selective	Approved rule (2015)	USEC
GV260-40	Human Rights case files	Selective	Approved rule (1998)	USEC, VPFO (General Counsel)

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GV260-50	Land Titles	Full	Approved rule (1998)	USEC, President, VPFO, FMGT
GV260-60	Legal Actions and Judgements	Full	Approved rule (1998)	VPFO (General Counsel), USEC
GV260-70	Legal Opinions	Full	Approved rule (1998)	President, USEC, VPFO (General Counsel), VPAC, VPFO
GV330-02	Policies and Procedures	Selective	Approved rule (2015)	USEC
GV415	Senate Administration	Full	Approved rule (2015)	USEC
GV415-20	Senate – Dockets and Minutes	Full	Approved rule (2015)	USEC
GV420-00	Senate Committees Administration	Full	Approved rule (2015)	USEC
GV420-10	Senate Committee on Agenda and Governance	Full	Approved rule (2015)	USEC
GV420-15	Senate Committee on Planning	Full	Approved rule (2015)	VPAC, USEC
GV420-20	Senate Committee on Curriculum	Full	Approved rule (2015)	OREG, USEC
GV420-25	Senate Committee on Academic Standards	Full	Approved rule (2015)	USEC
GV420-35	Senate Committee on Appeals	Selective	Approved rule (2015)	USEC
GV420-40	Senate Committee on Awards	Selective	Approved rule (2015)	OREG - SAFA, USEC
GV420-45	Senate Committee on Learning and Teaching	Full	Approved rule (2015)	USEC
GV420-50	Senate Committee on Continuing Studies	Full	Approved rule (2015)	Continuing Studies (Dean's Office), USEC
GV420-55	Senate Committee on Libraries	Full	Approved rule (2015)	University Librarian's Office, USEC
GV420-60	Senate Committee on Honorary Degrees and Other Forms of Recognition	Full	Approved rule (2015)	USEC
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HR110-20	Job Description files	Selective	Approved rule (2016)	HR
HR120-35	Arbitration	Full	Approved rule (2016)	HR, President, Vice-Presidents
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RE – Research				
RE020	Research Contracts and Agreements	Selective	TBD	ORS
RE030	Human Research Ethics	Selective	TBD	ORS, VPRE for MOUs and agreements
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SR030-20	Student Academic Records – Undergraduate	Selective (Retain records in Banner)	Approved rule (2017)	OREG, Academic Units, Deans
SR030-30	Student Academic Records – Graduate Students	Selective (Retain records in Banner)	Approved rule (2017)	Graduate Admissions and Records
SR030-40	Student Academic Records – Continuing Studies Students	Selective	Approved rule (2017)	Continuing Studies

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SS445-30	Special Student Services – Disabled Student case files	Selective (15 year selection)	Approved rule (1997)	Student Affairs
SS445-40	Special Student Services – Student Non-academic Discipline case files	Selective (15 year selection)	Approved rule (1997)	Student Affairs
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TP010	Academic Liaison Services	Selective	TBD	VPAC, Co-op, Faculties
TP015	Accreditation	Selective	TBD	Engineering, Human and Social Development
TP085	Continuing Education Programs	Selective	TBD	Continuing Studies
TP090	Co-operative Education	Selective	TBD	Co-op, VPAC, Academic Units
TP130	Departmental Review	Selective	TBD	VPAC
TP335	Program Development	Selective	TBD	VPAC, Co-op, Faculty and Academic Units