Electronic Records - How do I get rid of them?

Prepping E-Records for their Final Destination

Records Management Session

Acknowledgements

Dalhousie University operates in the unceded territories of the Mi’kmaw, Wolastoqey, and Peskotomuhkati Peoples. These sovereign nations hold inherent rights as the original peoples of these lands, and we each carry collective obligations under the Peace and Friendship Treaties. Section 35 of the Constitution Act, 1982 recognizes and affirms Aboriginal and Treaty rights in Canada.

We recognize that African Nova Scotians are a distinct people whose histories, legacies and contributions have enriched that part of Mi’kma’ki known as Nova Scotia for over 400 years.

Introduction to Records Management Office (RMO) staff

- Courtney Bayne, University Records Manager
- Guy LeLievre, Library & Records Management Services Assistant *(50% of activities allocated to records management)*

What we will go over today

- Records Management at Dalhousie
- Services the RMO provides
- What to do with electronic records?
- BagIt File Packaging Format
  - Downloading the tool
  - Using the tool
  - Creating a bag
- Records management processes
- Deleting electronic records
- Transferring electronic records to University Archives
- Accessing electronic records in University Archives

Records Management at Dalhousie

- Dalhousie recognizes the importance of good records management and has a Records Management Policy (approved in 2016, revised in 2022)

- Records Management Office (RMO) creates:
  - Guidelines and Best Practices
  - Procedures
  - Templates & Forms

- The RMO works with the Privacy Office, Information Security & ITS and University Risk and Assurance.

- Resources can be found on our website

The RMO provides

Training & Advisory services related to:

- What to do with information you currently have, what you've inherited and when it can be gotten rid of
- Where information assets – such as records - are stored (analogue and electronic)
- What's a record vs non-record (analogue and electronic)
- How and when to properly get rid of records and information
- Guidance on how to dispose of university records

This leads to today's session!

Do I have records?

DALHOUSIE UNIVERSITY
LIBRARIES

Records Management Office

Do I have to process this through the Records Management (RM) Program?

Is this record?

Yes

- Is it information, that provides evidence of a business transactions or activities of the unit?
- Has it been received or created (or is being created) and needs to maintained and accessible by the office, department or individual in pursuance of Dal's mission, its legal obligations or in the transaction of business?

If you answer ***yes*** to either of these question
– **IT IS a record**
& has to be processed under the RM Program
as per the RM Policy

Now Go To
DalCLASS

What retention do I use?

- Is this information unique & it only sits here in my unit?
- Is the my unit consider the 'Dal Service' in this situation surrounding this business activity?

If you answered yes either of these question your office is a **Primary Office**

- Am I using a service at Dal?

Examples:
- HR
- Financial Services
- Registrar Office
- FGS

If yes than you are a **Secondary Office**

No

- Is it a Reference or Convenience copy?
- Is it Transitory or temporary utility and are not required for statutory, legal, fiscal, administrative, operational or archival purposes?
- General in nature?

If the answer is ***yes*** to any of these -
It is NOT a record
& does not have to go through the RM Program

Does it contain sensitive, confidential, personal or private information?

Yes

Put in secure shredding bin

No

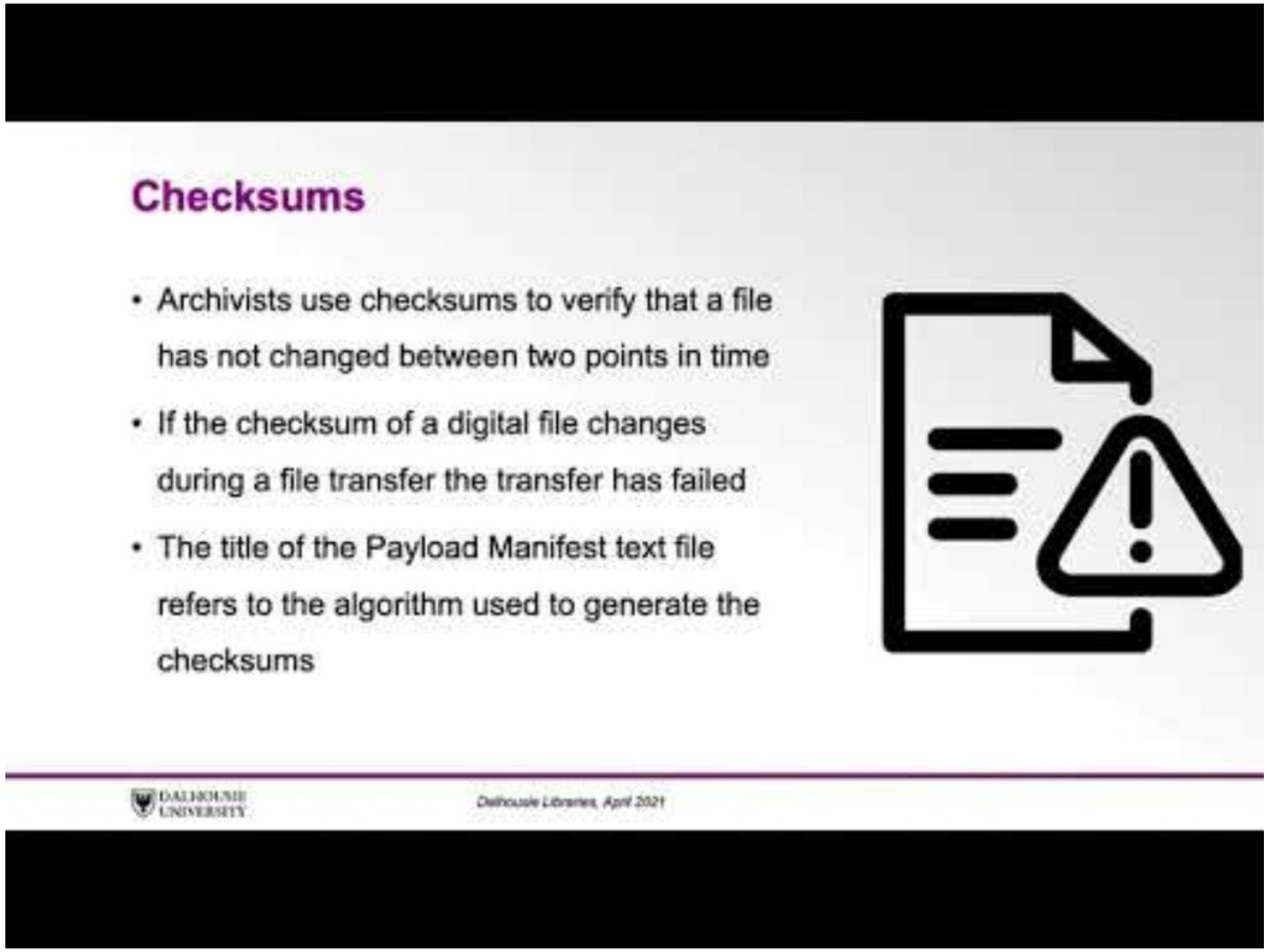
Put in regular recycle bin

Created: 2023-09-25
Rev: n/a

I have electronic records… what do I do?

- The University Libraries has developed a tool that can be used to ‘bag’ records to assist in final disposition (secure destruction or transfer to University Archives)
- If they are university records:
  - Determine if you are the Primary or Secondary Office for the records
  - Apply the correct DalCLASS code(s)
  - Complete the required paperwork (more on this later!)

Introduction to the BagIt File Packaging Format



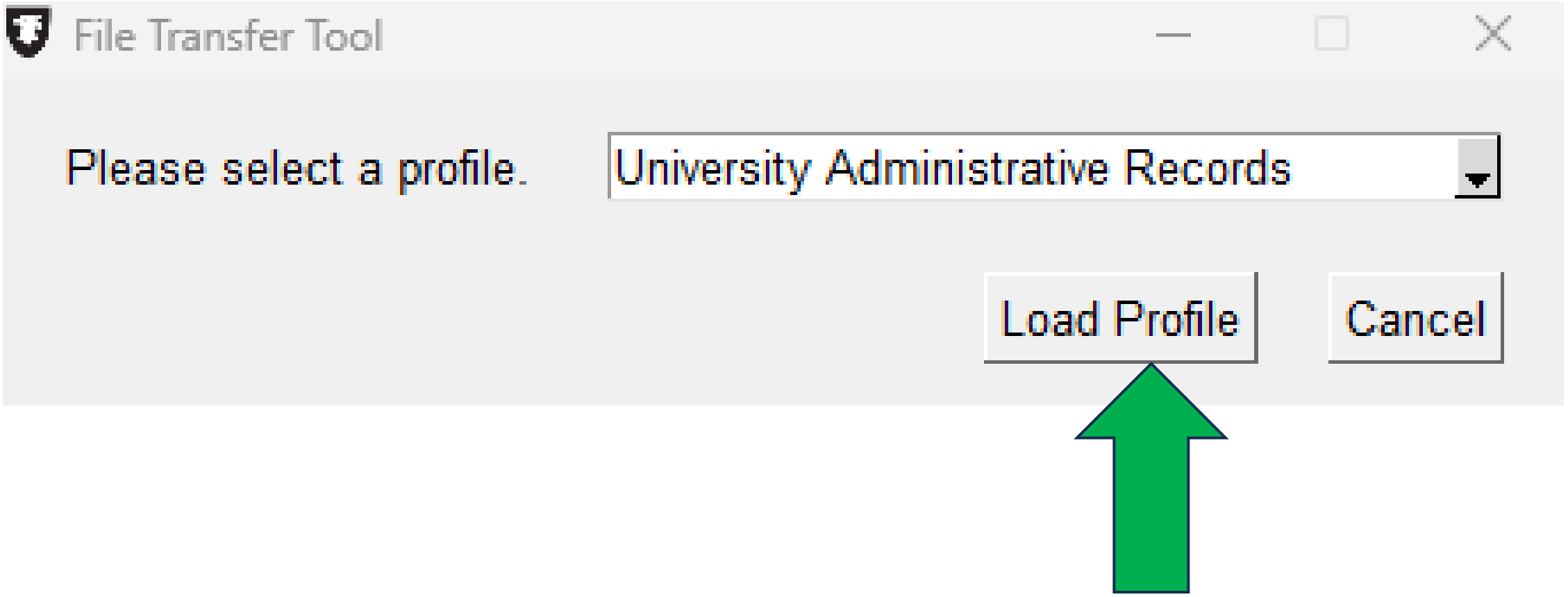
Downloading the tool

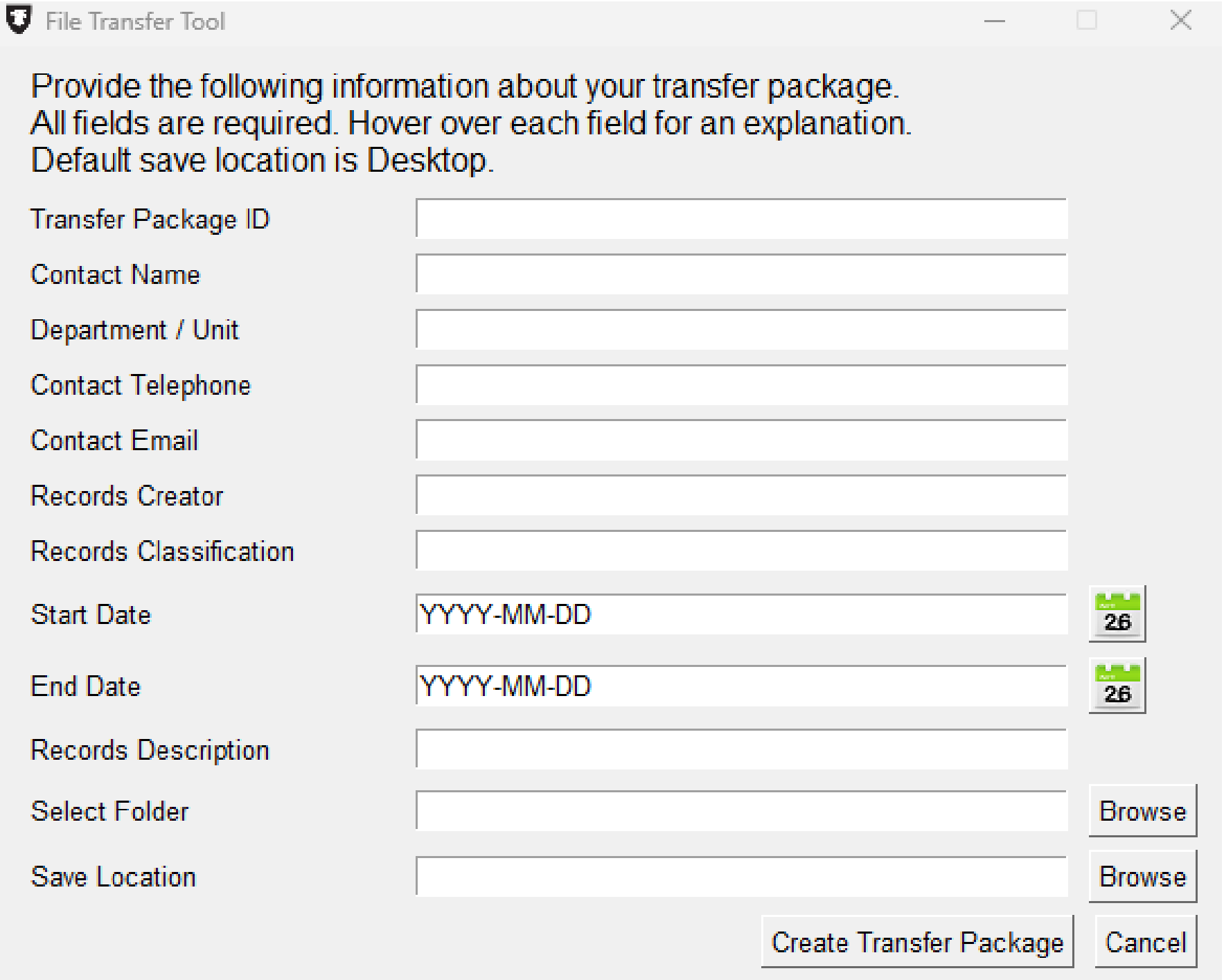
- Email the RMO DalRM@dal.ca when you are getting e-records ready for disposition.
- The RMO will provide you step by step instructions on how to download the tool to your desktop and “bag” the records
- If you are not on campus, you will need to connect to Dal's VPN to download the tool and use it

Using the tool

Recycle Bin
Data Transfer
Add Local Admin
Firefox
Adobe Acrobat ...
Google Chrome
Adobe Digital Editions 4.5
Microsoft Edge
Adobe FormsCentral
AnyClient
TransferTool
Microsoft Teams class...
DALHOUSIE
UNIVERSITY
LIBRARIES

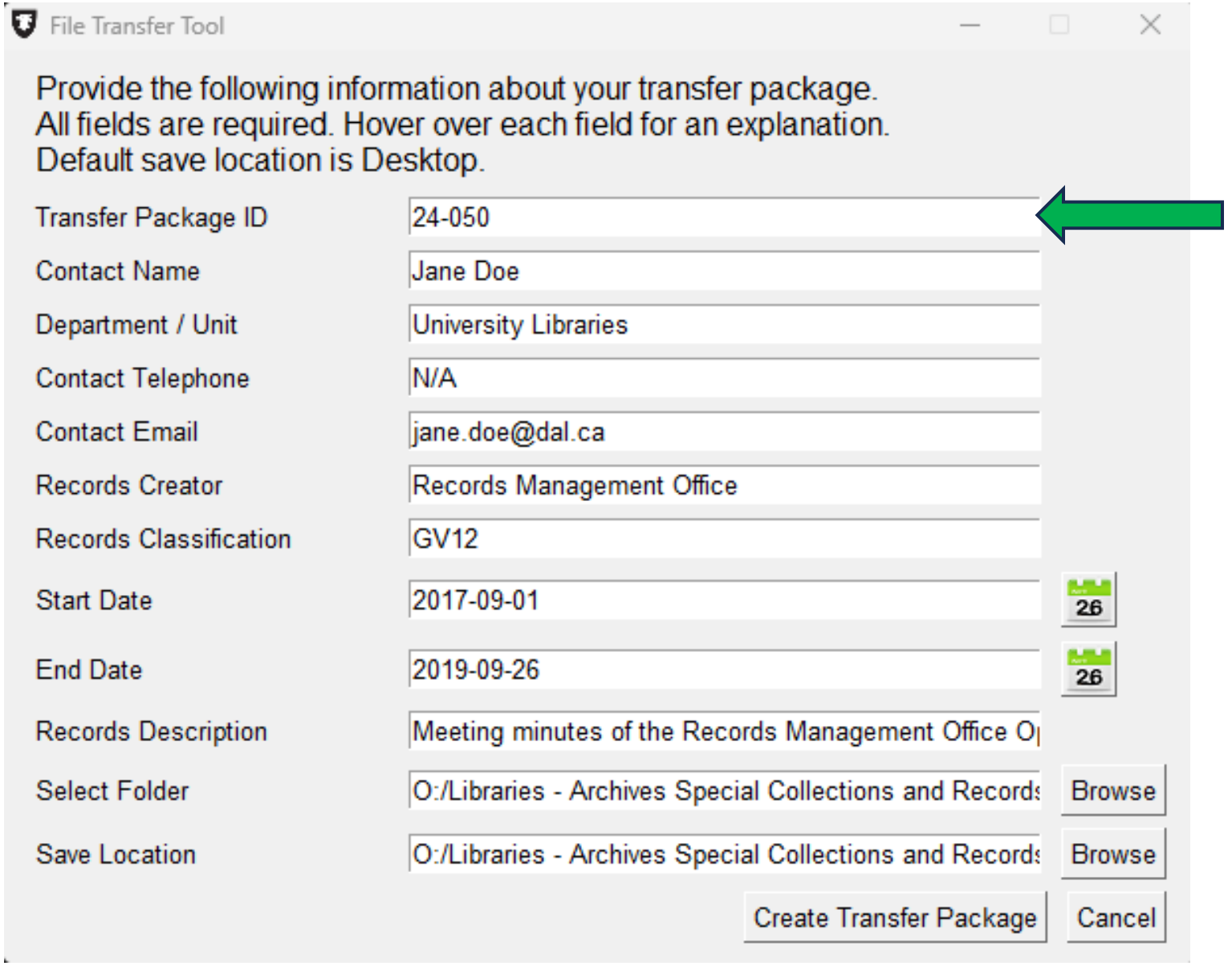
Creating a transfer package




File Transfer Tool
Provide the following information about your transfer package.
All fields are required. Hover over each field for an explanation.
Default save location is Desktop.
Transfer Package ID
Contact Name
Department / Unit
Contact Telephone
Contact Email
Records Creator
Records Classification
Start Date
YYYY-MM-DD
26
End Date
YYYY-MM-DD
26
Records Description
Select Folder
Browse
Save Location
Browse
Create Transfer Package
Cancel

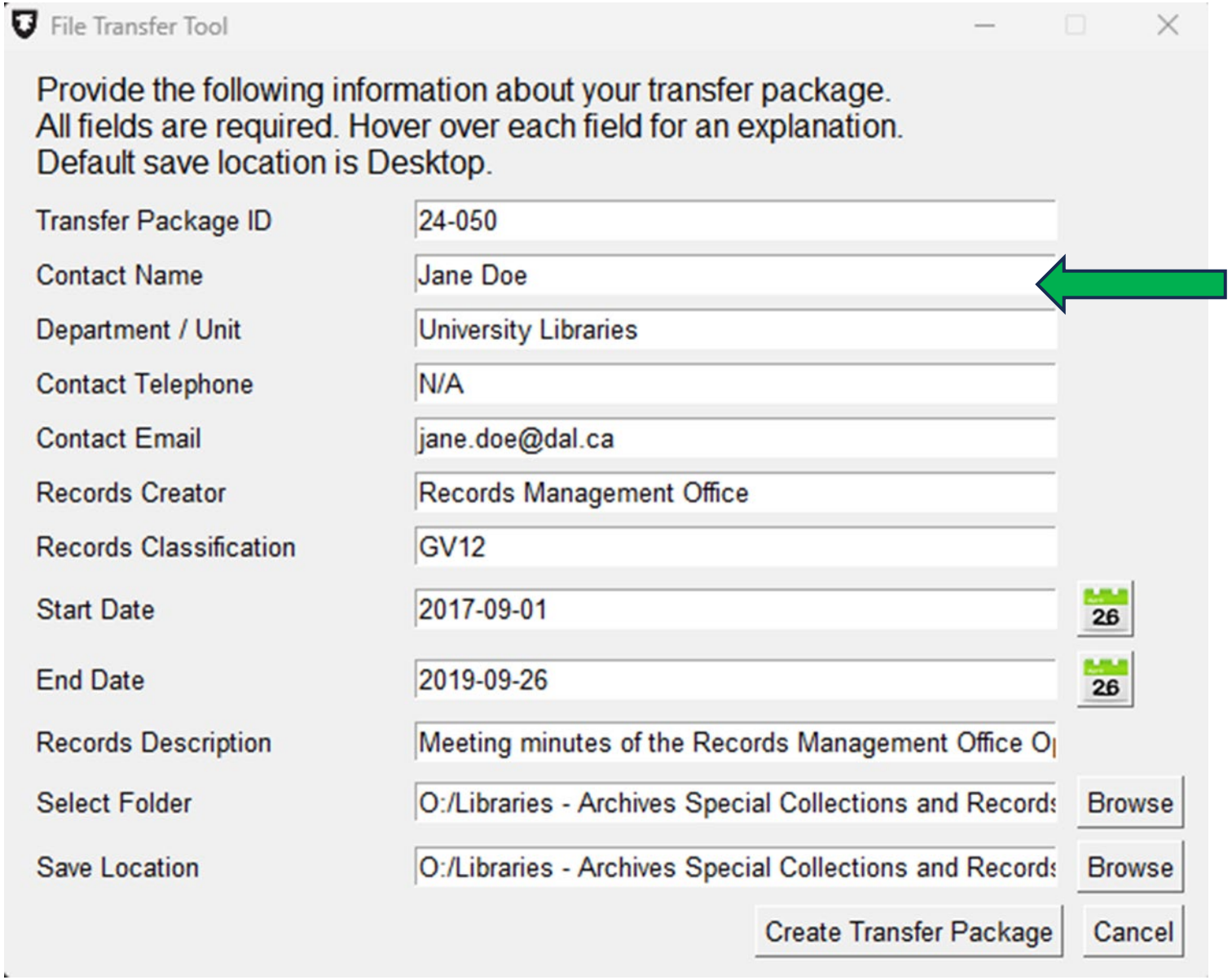
Transfer Package ID:

The unique identifier for the package.



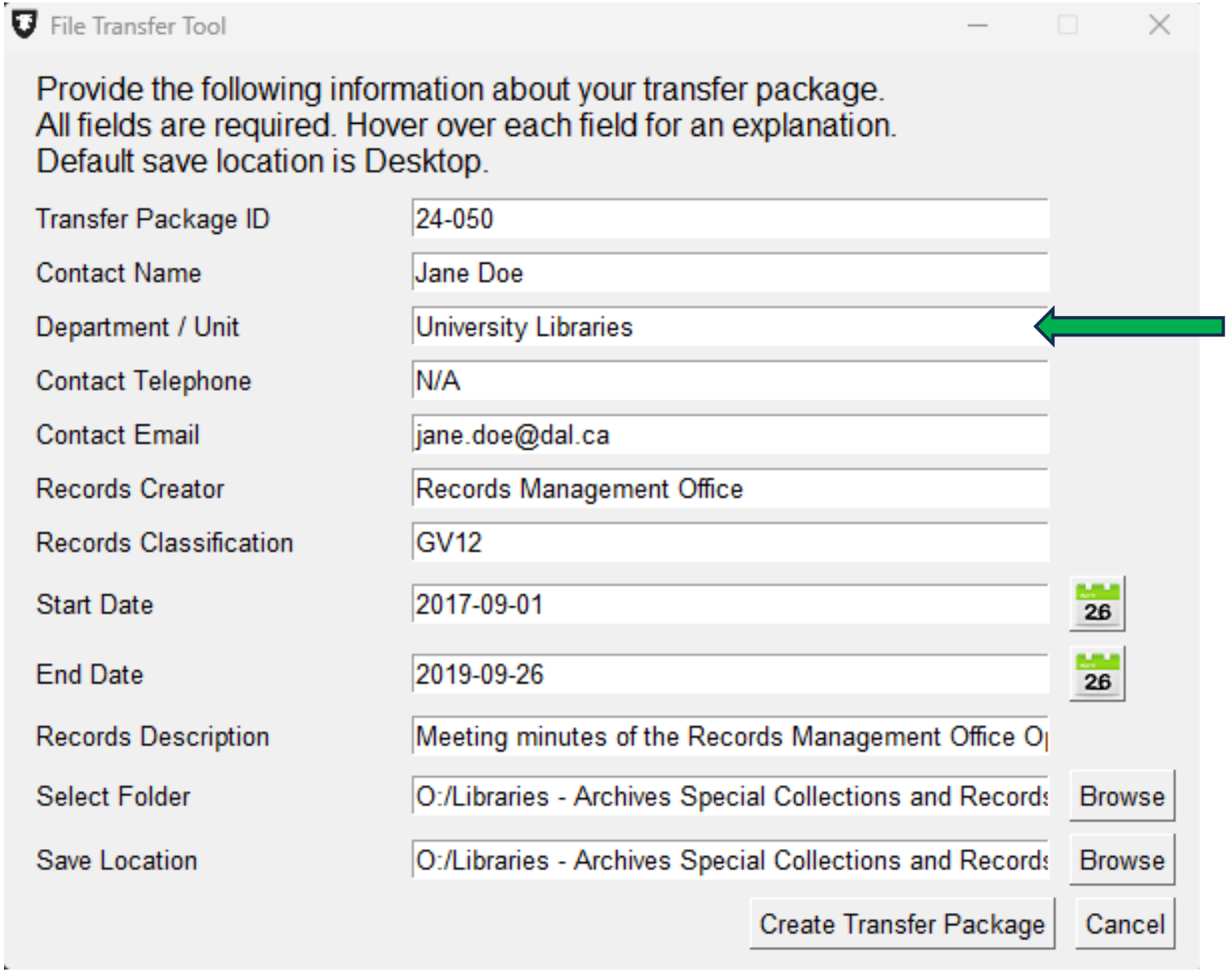
Contact Name:

The name of the person responsible for the transfer of the package



Department / Unit:

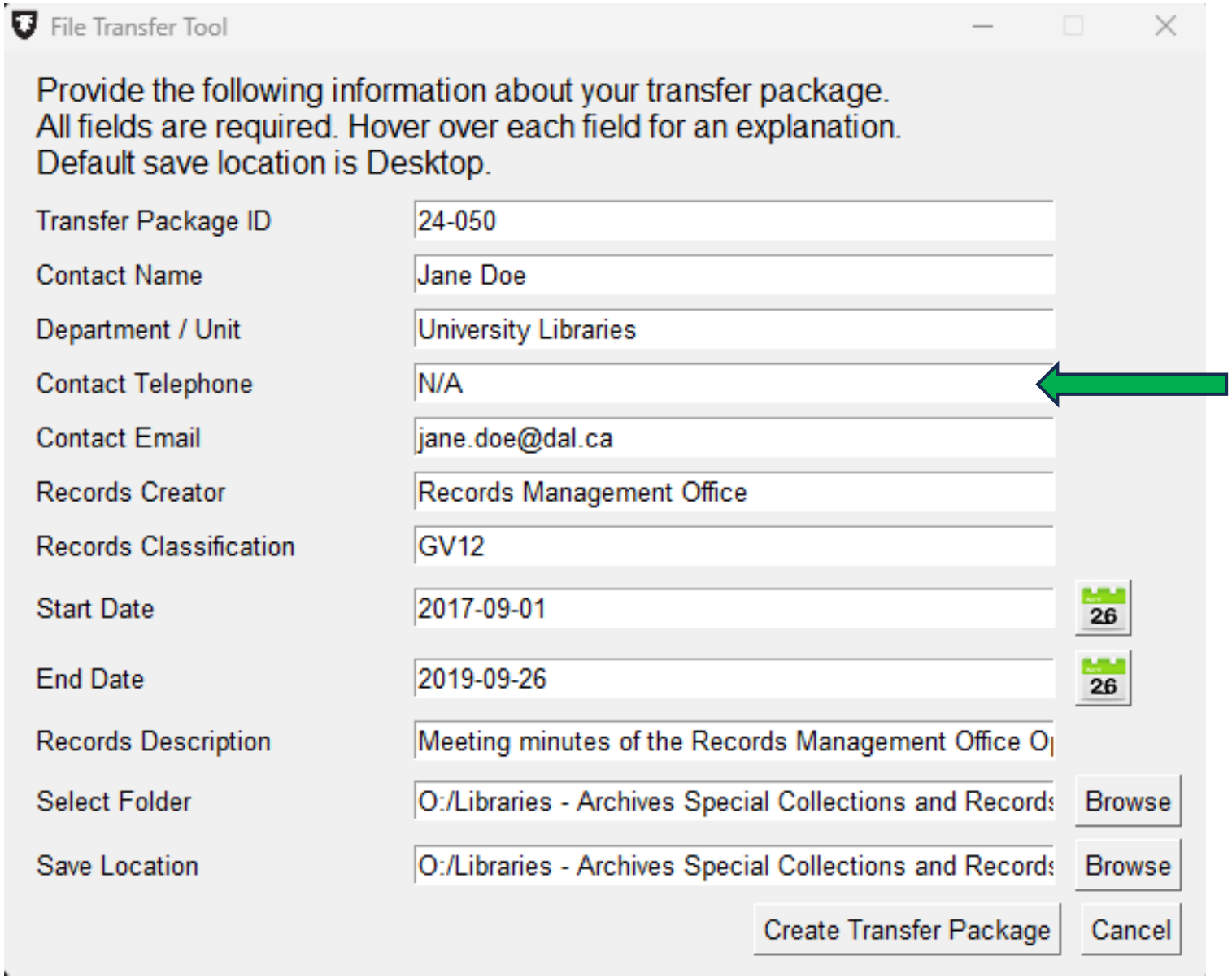
The name of the department / unit responsible for the creation of the package and responsible for its contents



Contact Telephone:

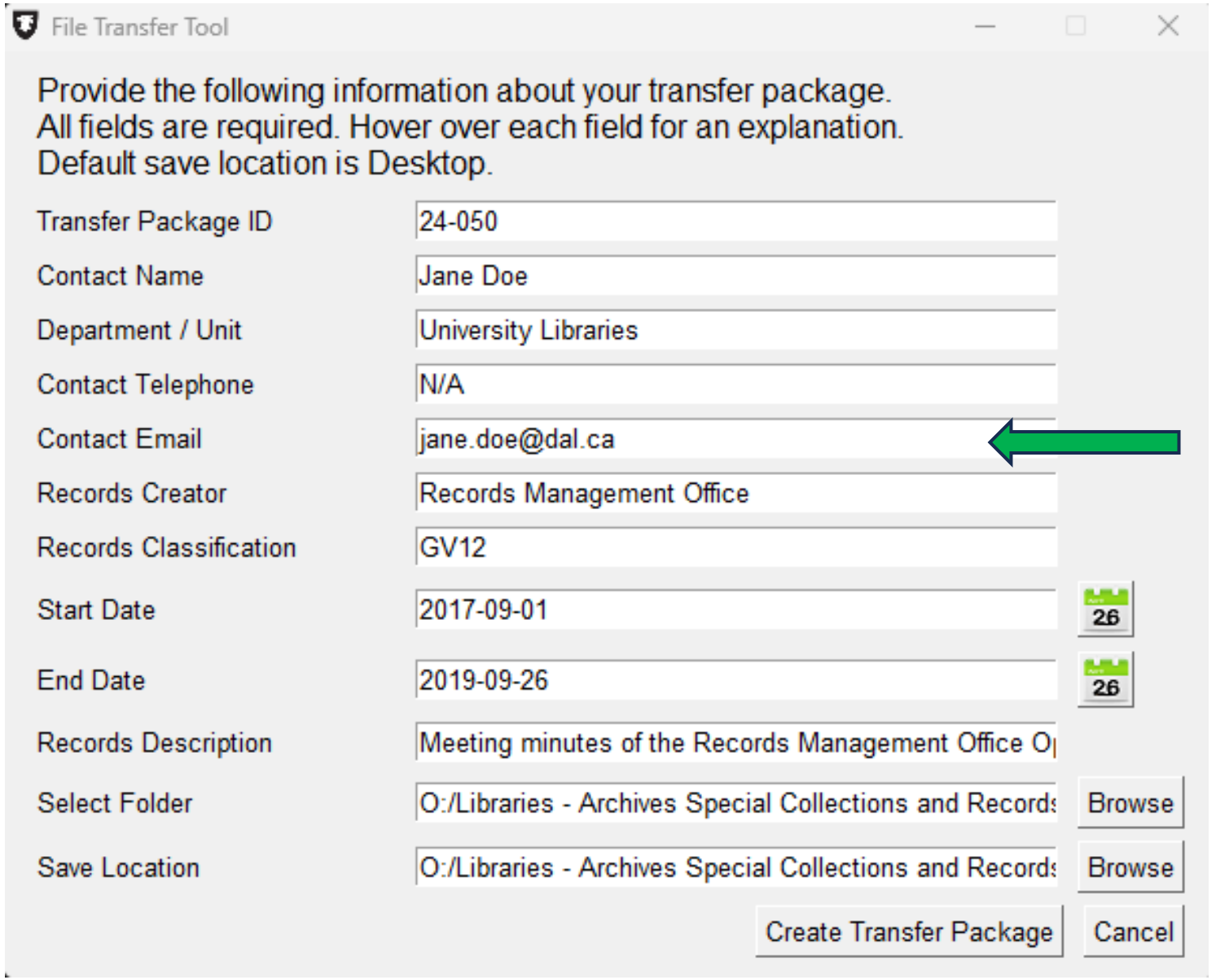
Phone number of unit.

If you or your unit does not have a phone number, put N/A



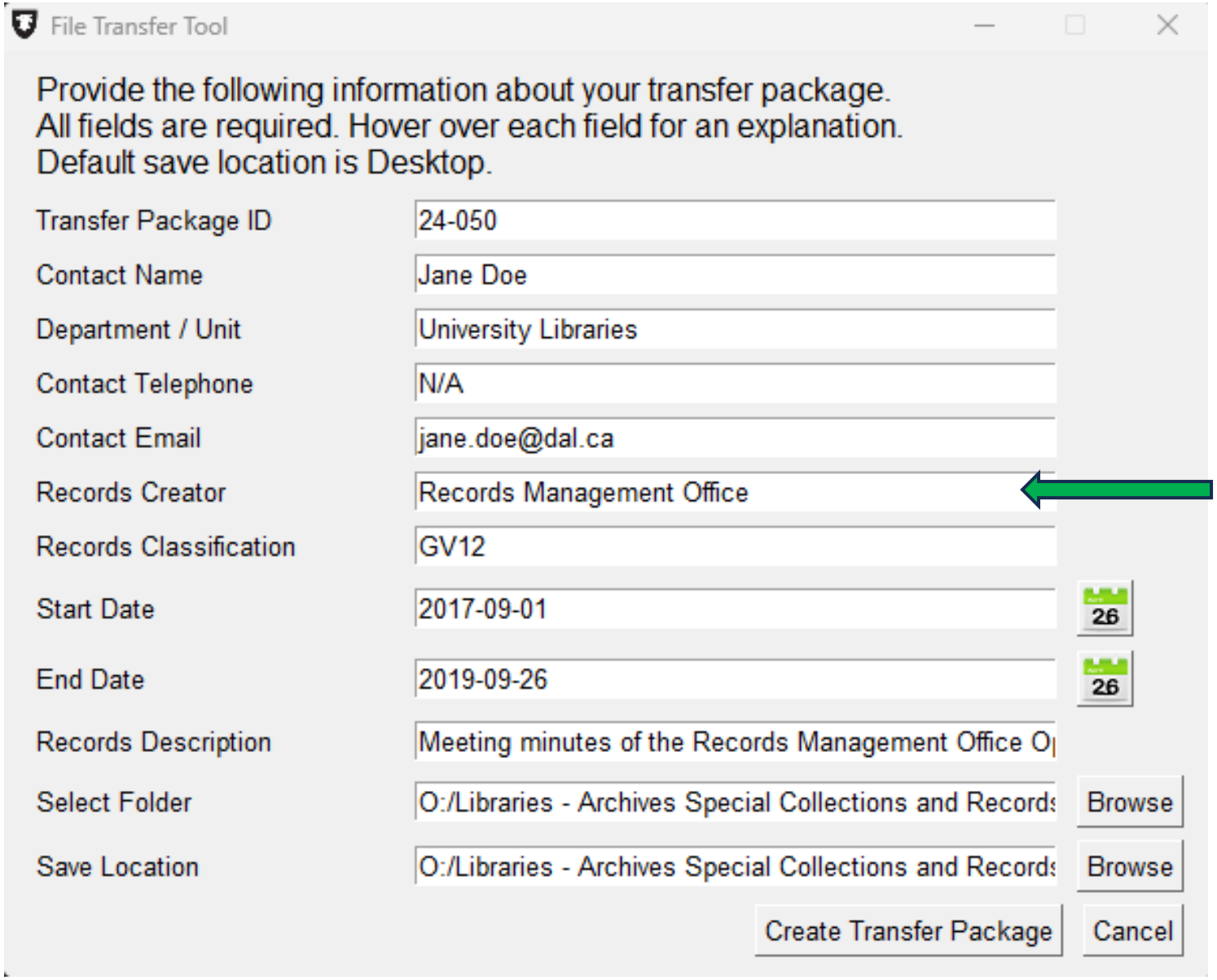
Contact Email:

The Dal issued email for the contact's name



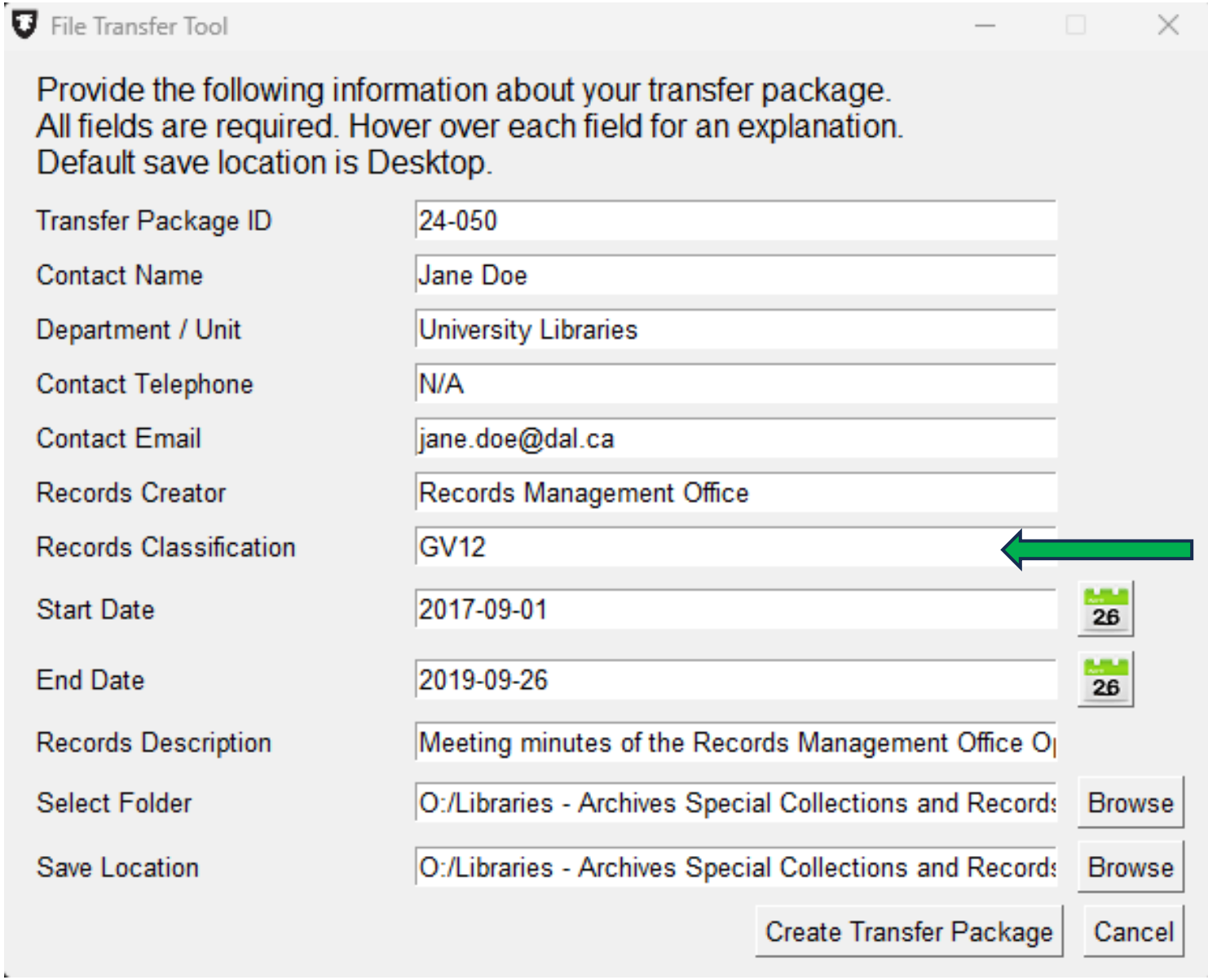
Records Creator:

The name of the unit responsible for creating the records



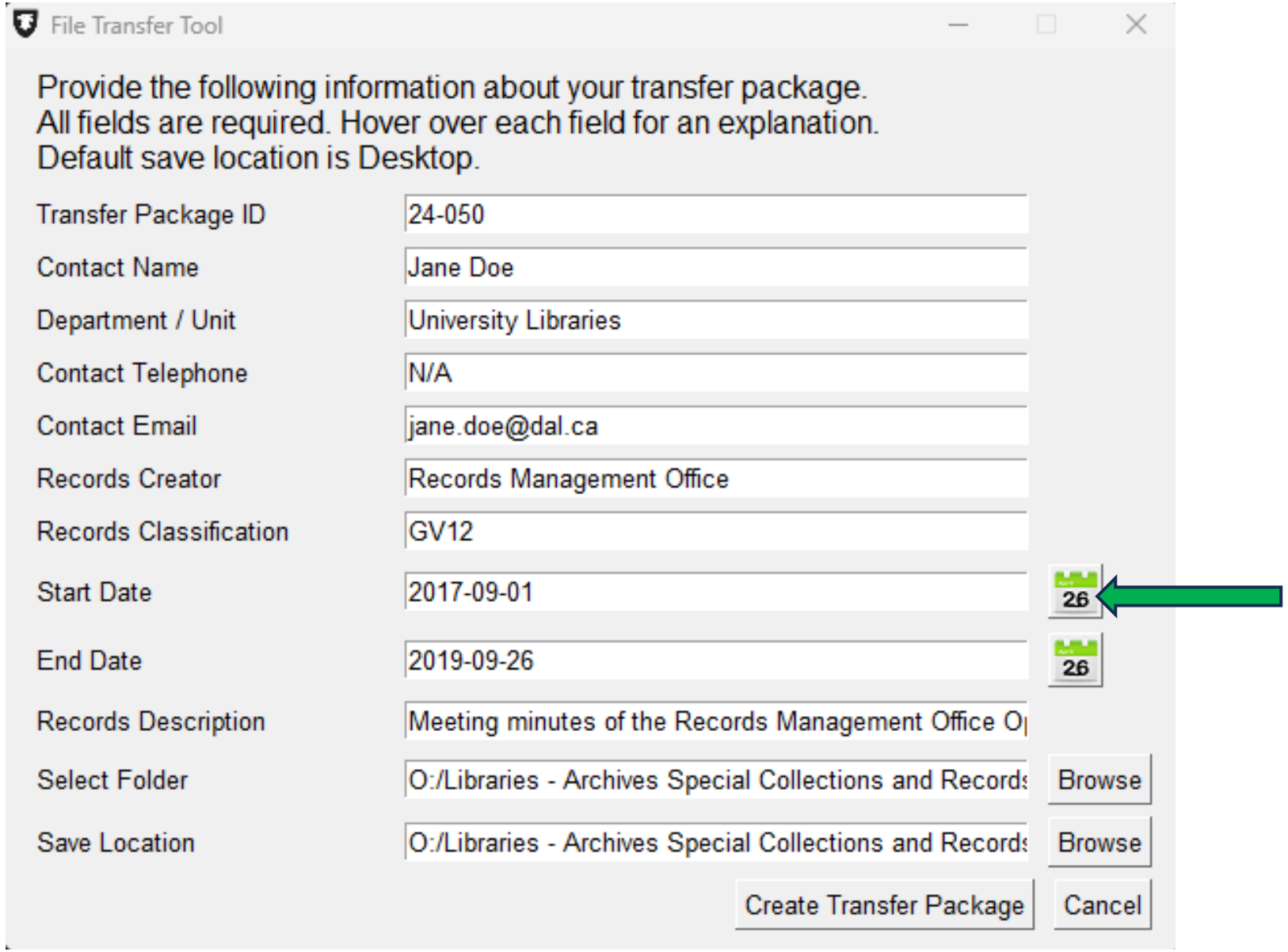
Records classification:

The DalCLASS code applied to the records



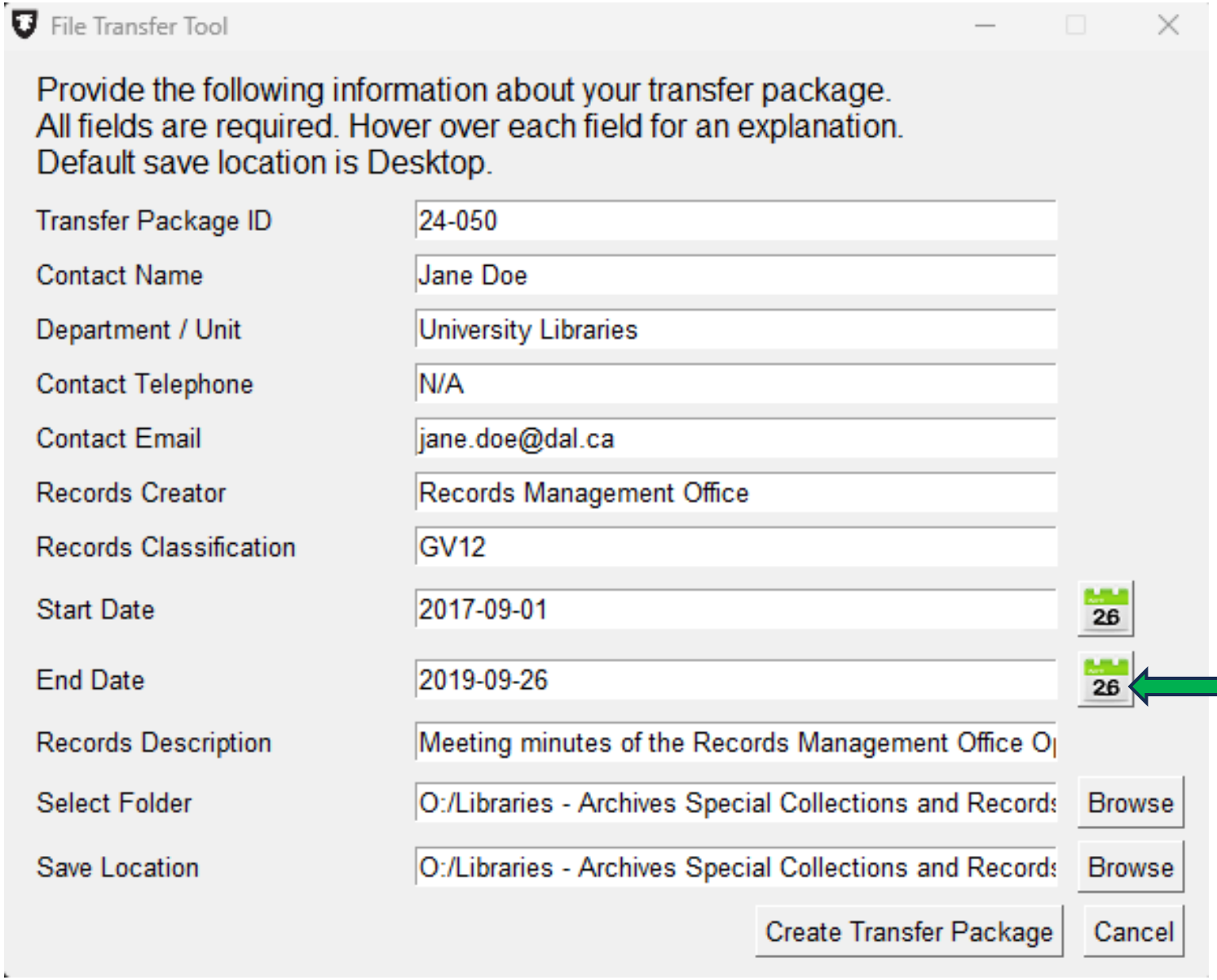
Start date:

The beginning date of the date range of records in the bag



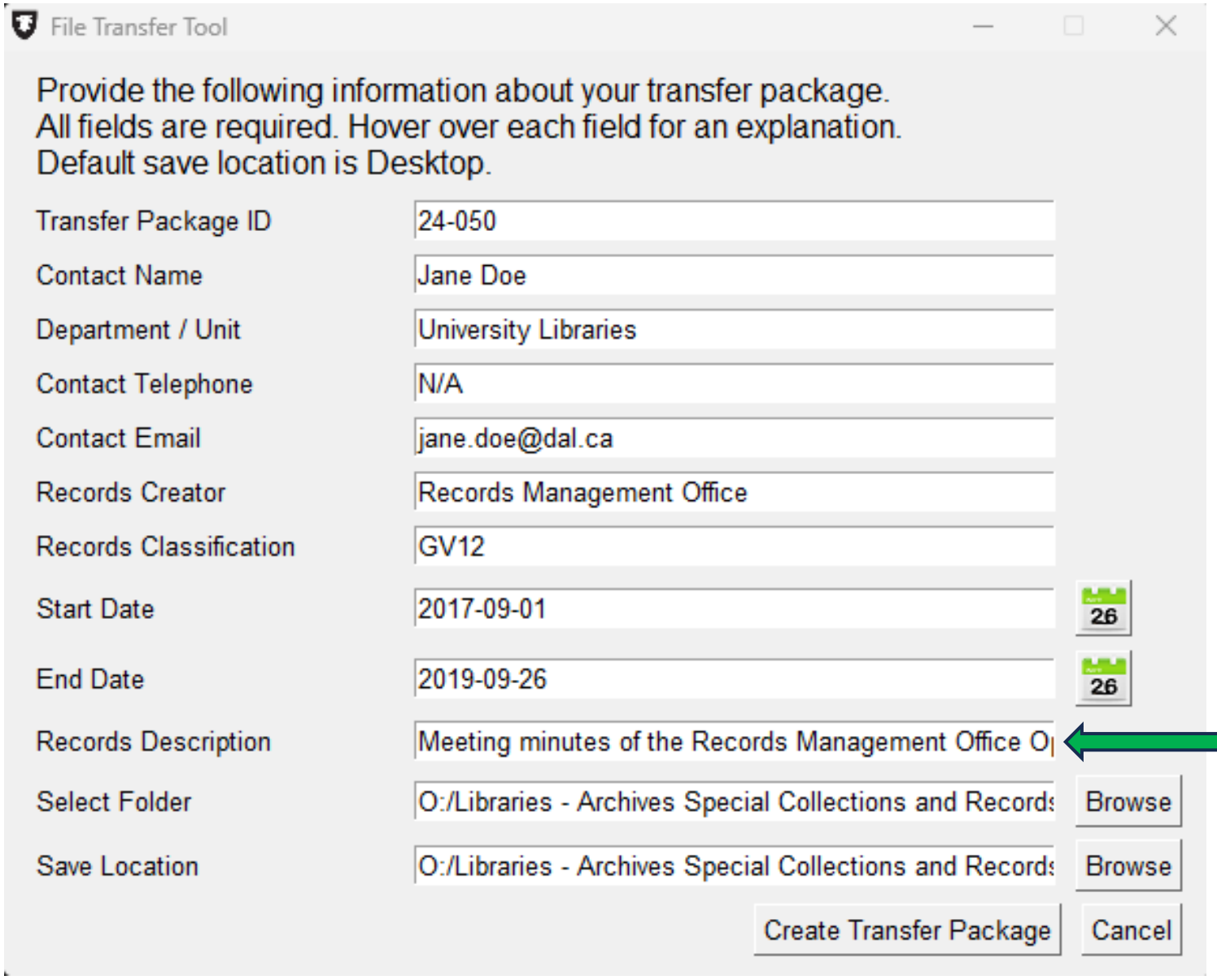
End Date:

The last date in the date range of the records in the bag



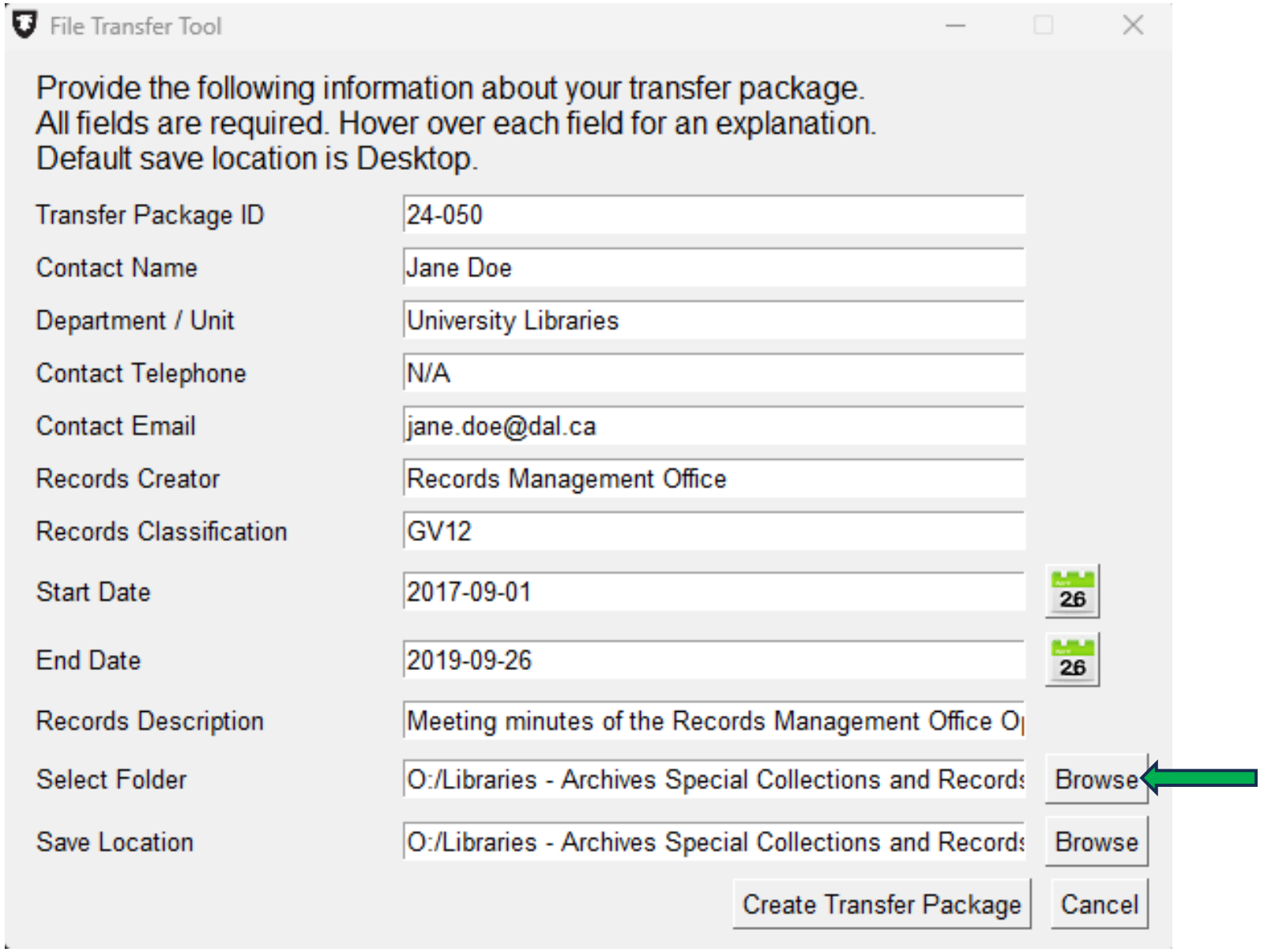
Records Description:

A brief description of the records



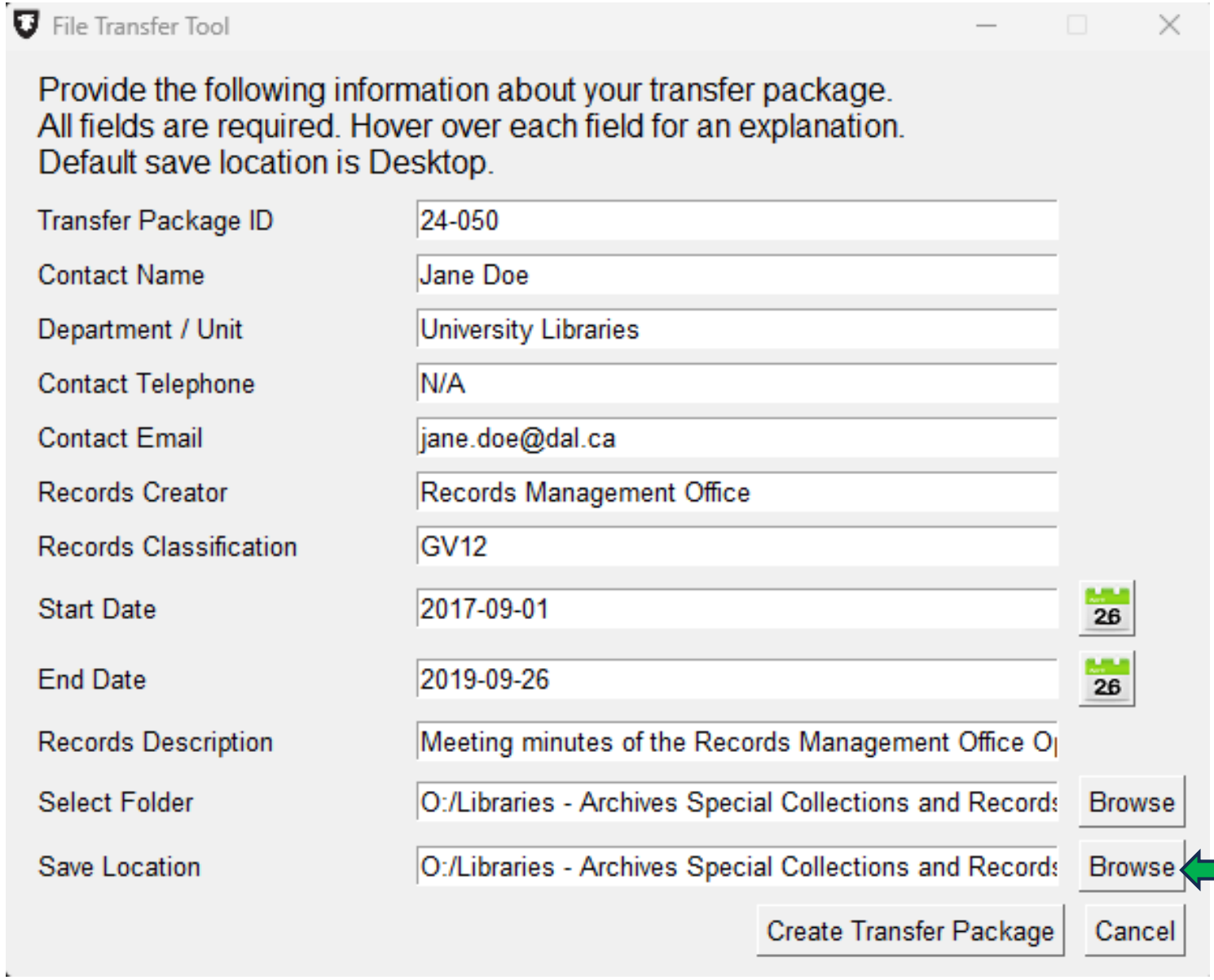
Select Folder:

This is the folder that you will be bagging for final disposition



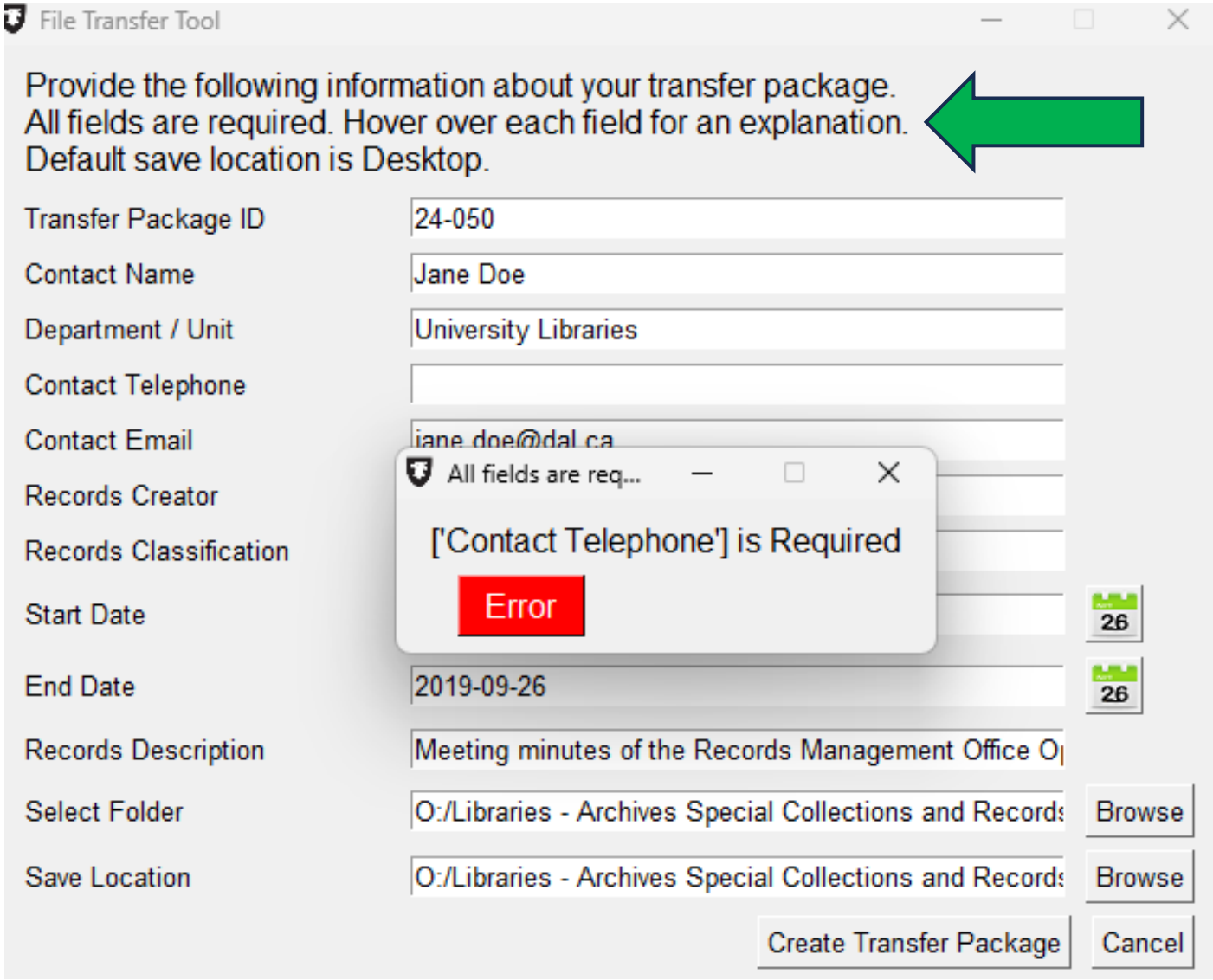
Save Location:

This is where the bag is going to be stored to await final disposition

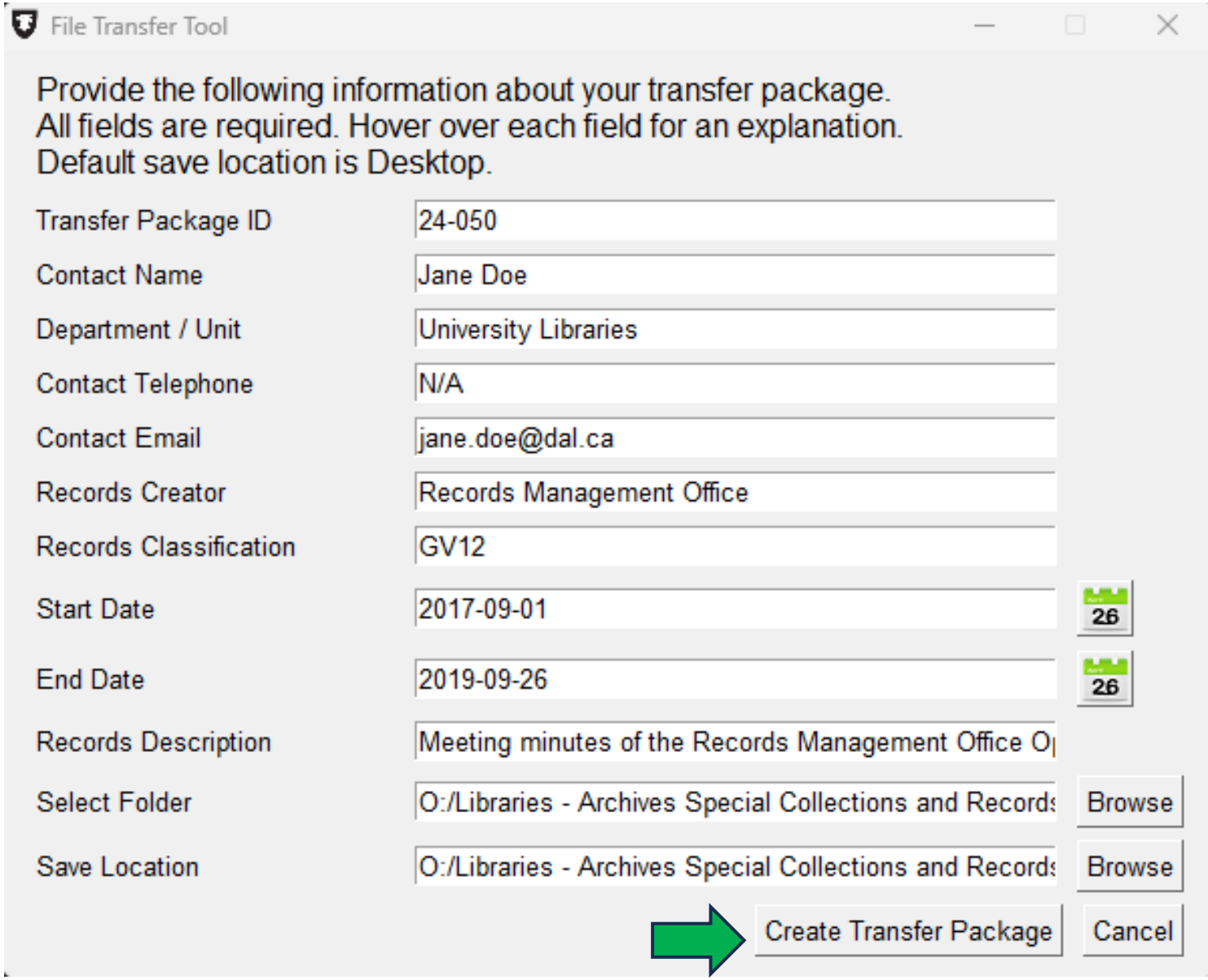


Do you need to fill in all of the fields?

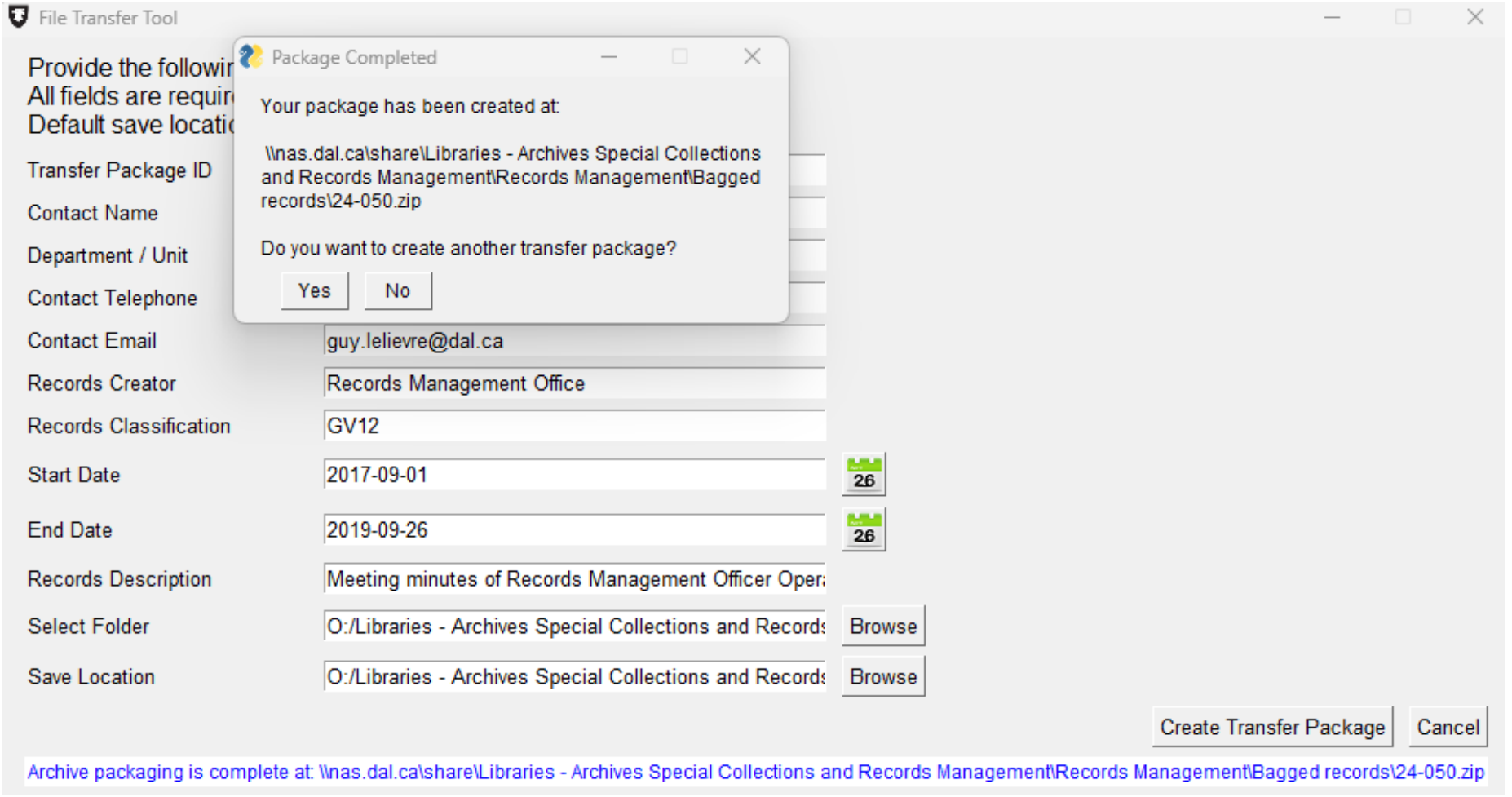
Yes.



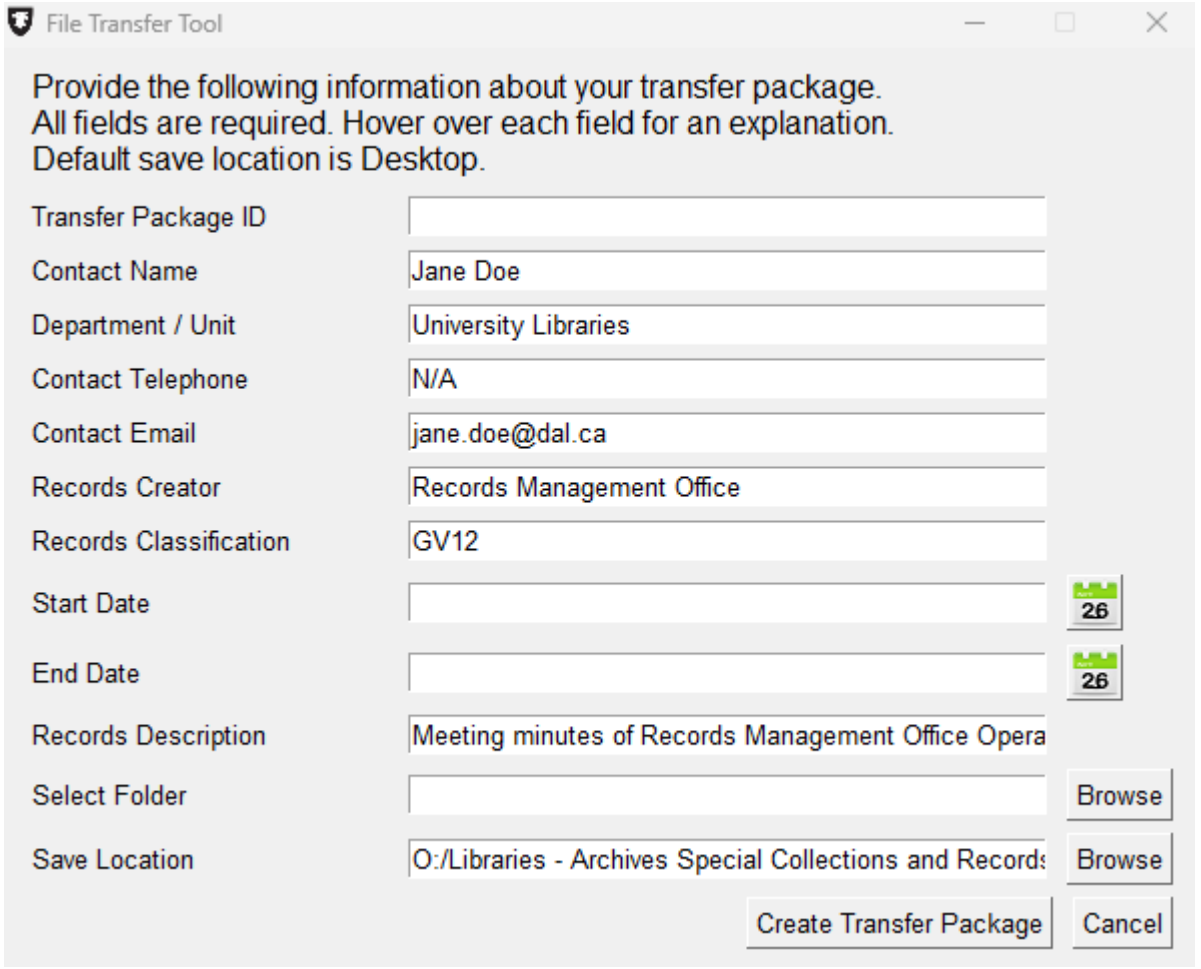
Create a package



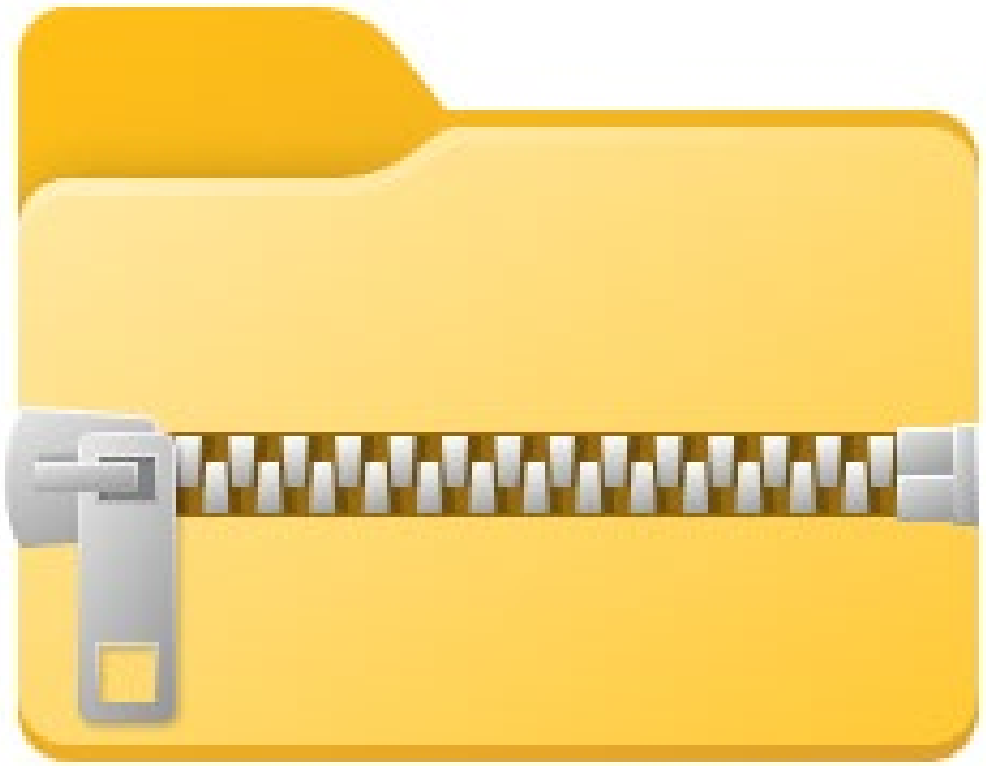
To create or not to create...



If you click yes...



What does a transfer package (or 'Bag') look like?



24-050.zip

What is in the transfer package?

data

bag-info.txt

bagit.txt

manifest-sha256.txt

tagmanifest-sha256.txt

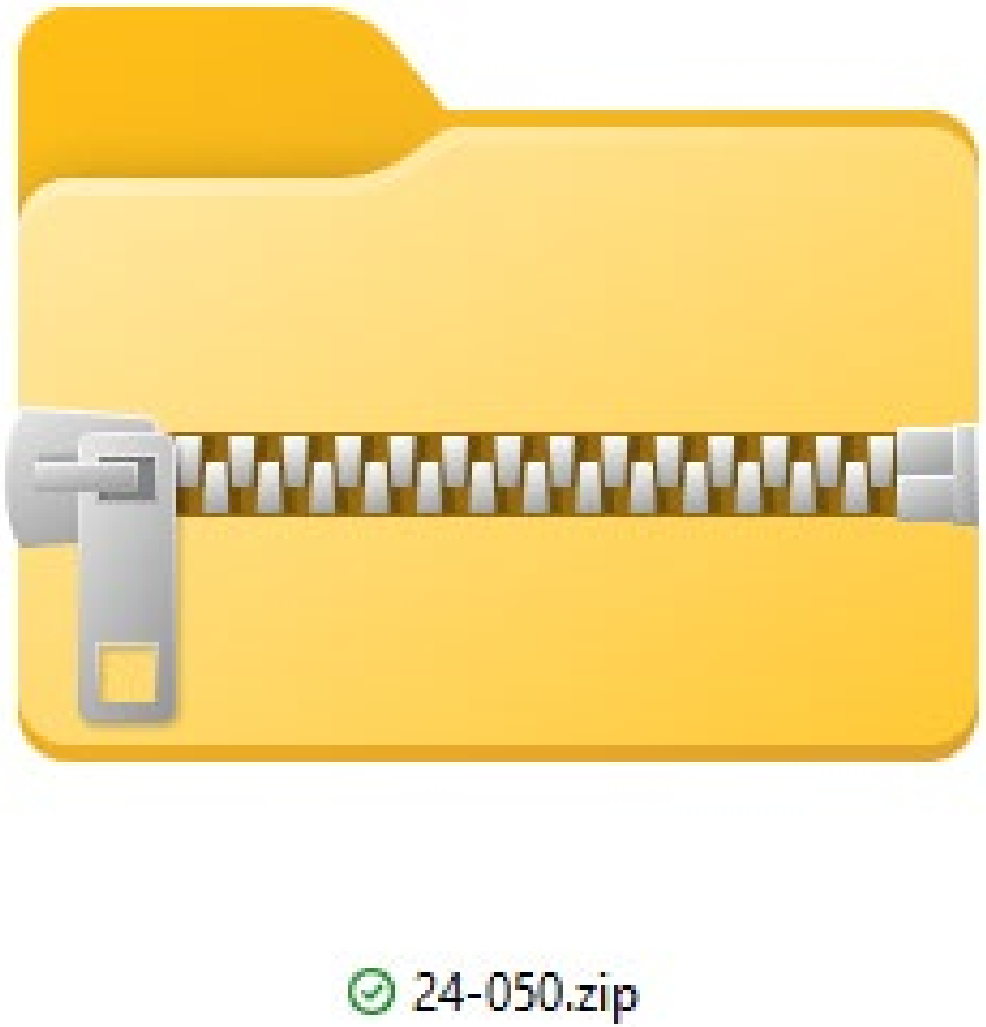
Data bag

Meeting Minutes_RMO Operations_2017-09-01.docx

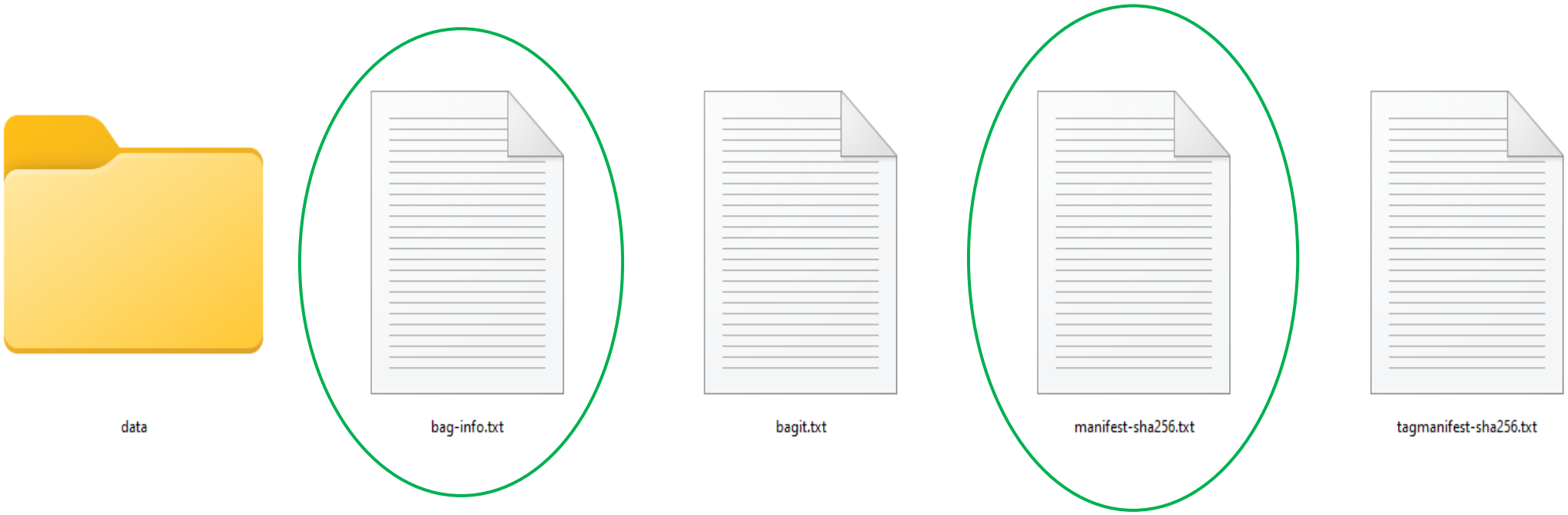
Meeting Minutes_RMO Operations_2018-09-10.docx

Meeting Minutes_RMO Operations_2019-09-26.docx

Go to the Bag and pull the Bag-Info & Manifest



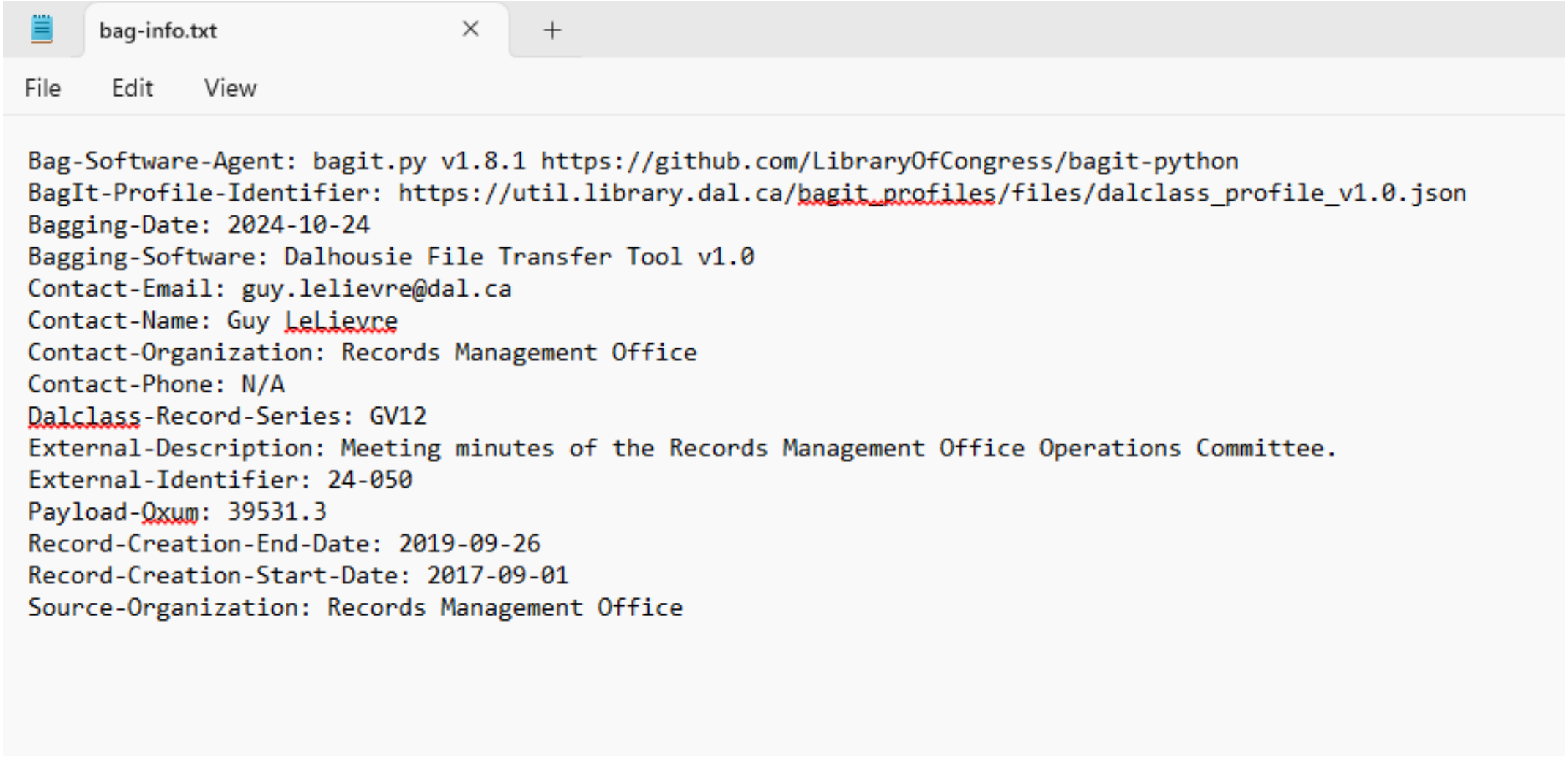
The Bag-Info & Manifest



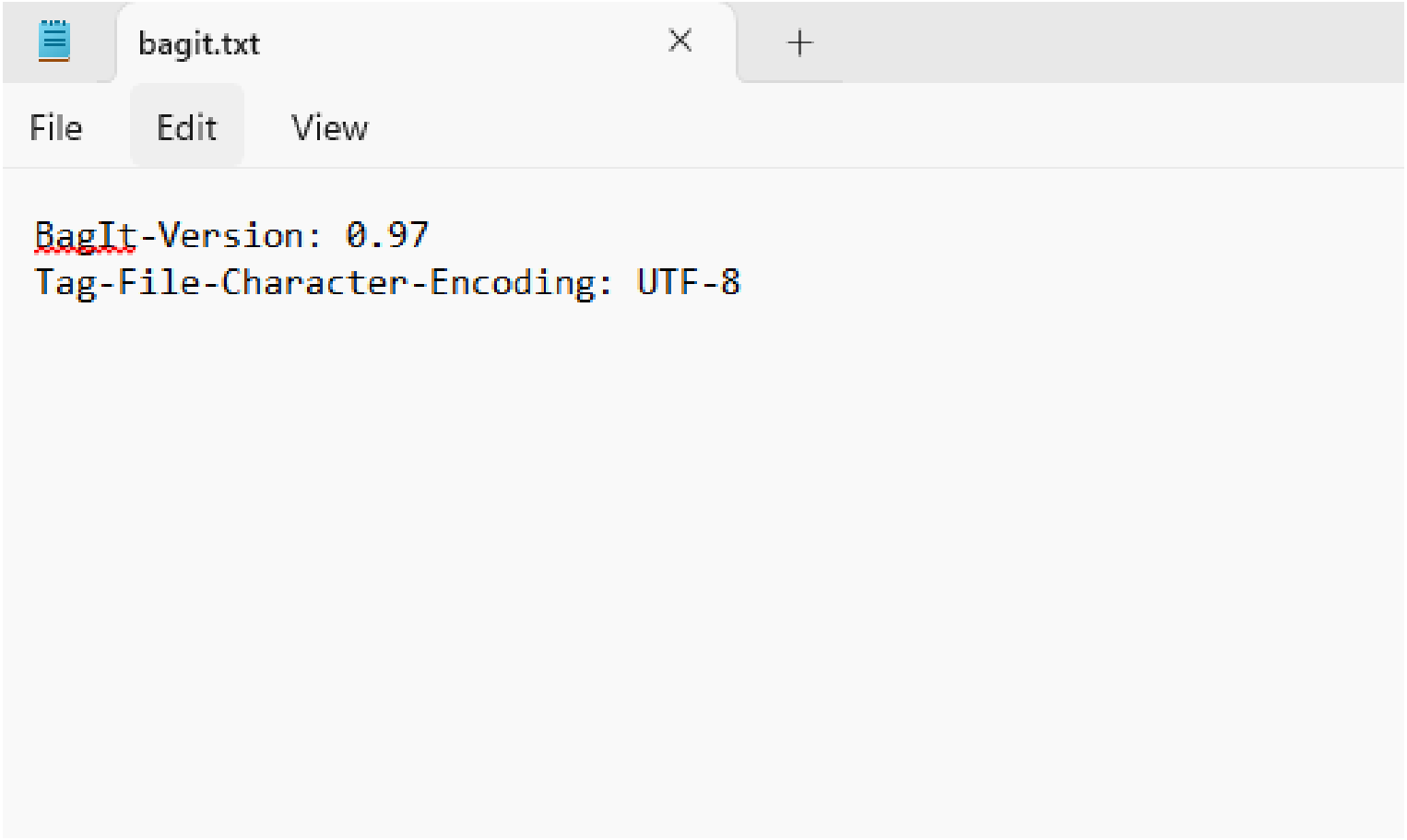
1. bag-info.txt

2. manifest-sha256.txt

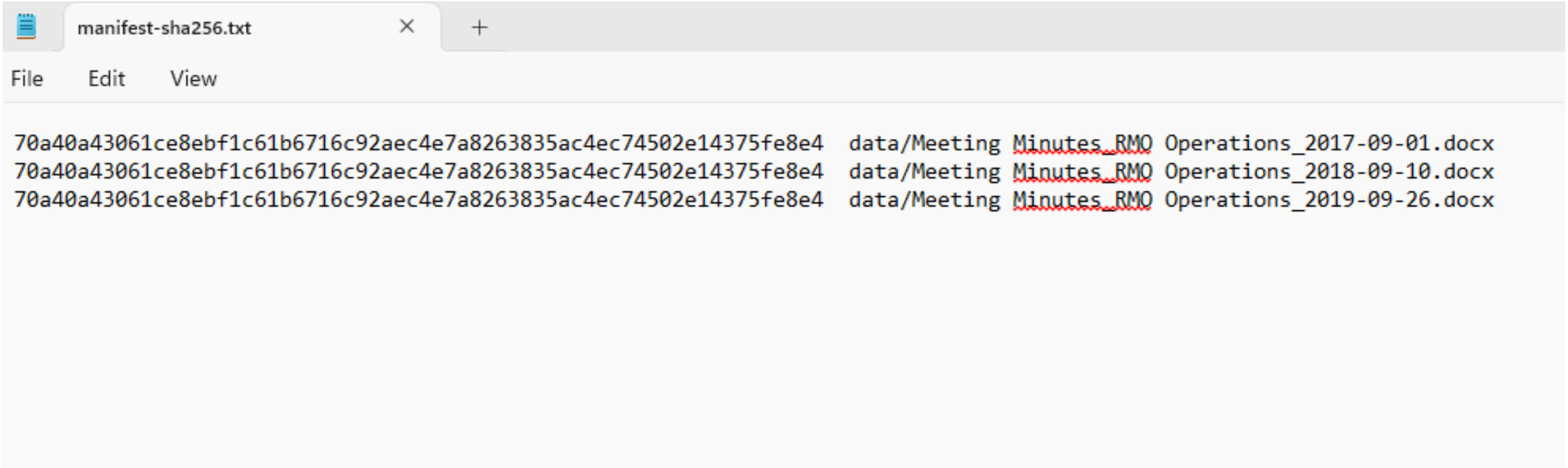
Bag-info-text



Bagit.txt


bagit.txt
File
Edit
View
BagIt-Version: 0.97
Tag-File-Character-Encoding: UTF-8

Manifest-sha256.txt



I’ve created the package… now what?

The records are bagged… now what do you do?

This leads us into the records management paperwork!

QUESTIONS

Step 1
Units needs a Signing Authority

Getting a Signing Authority for unit

Should be

A senior leadership level position, as identified by the unit (Faculty or Department).

Signing Authorities can be delegated

The signing authority can be the Faculty or Department head, or an appropriate senior leader designated by the Faculty or Department head.

How many times a Faculty or Department head delegates the authority depends on the unit.

Responsibilities of Signing Authority

To review record inventories that are identified for disposition.

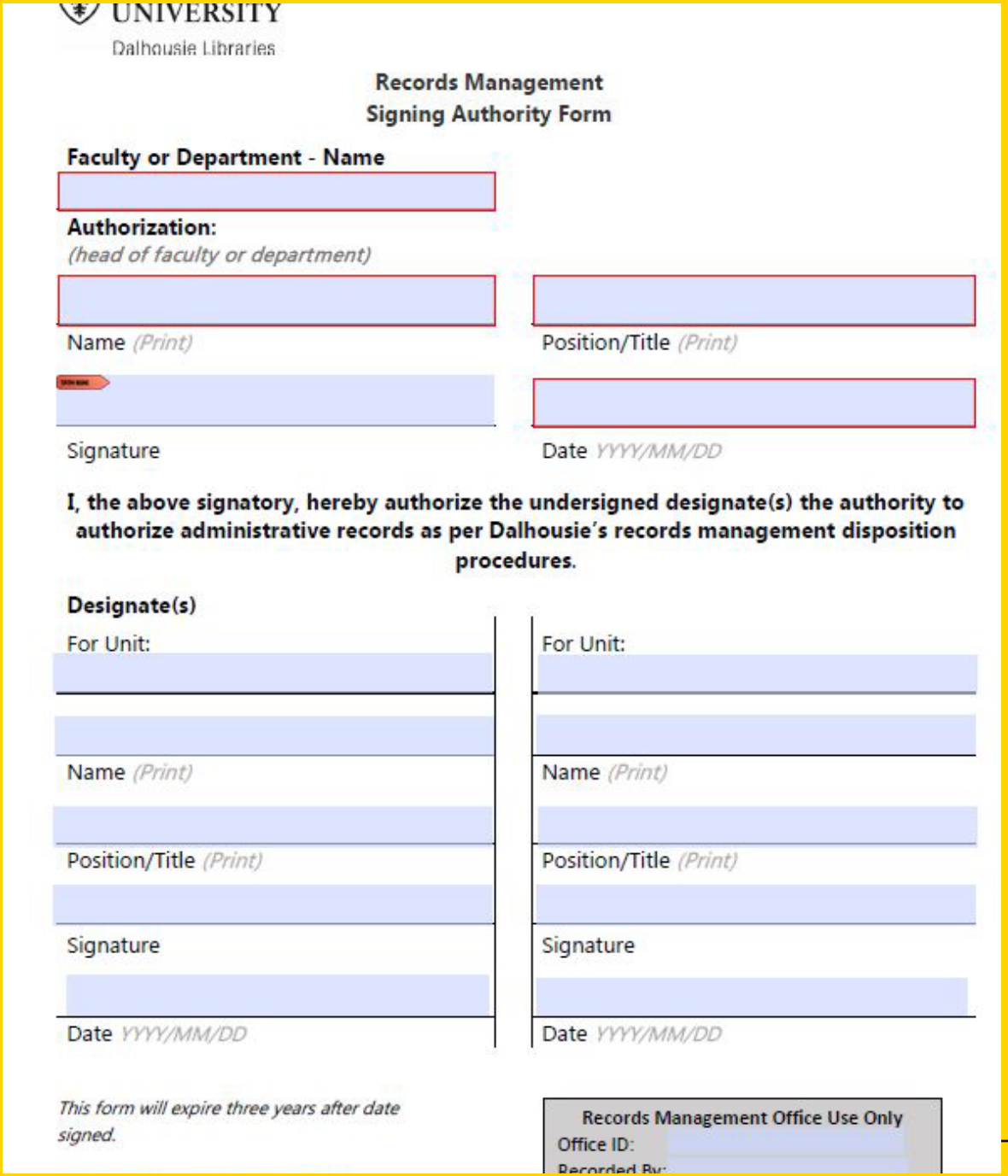
To identify records that may .....

Responsibilities of Signing Authority

To identify records that may:

- Be subject to an **audit** that is underway or pending
- Be subject to **legal discovery in a legal matter** that is underway or anticipated
- Be subject to a pending or ongoing **investigation** or review
- Pertain to an open application for access to records made under the **FOIPOP** Act
- Document **financial obligations** that have not yet been completed
- Document **contractual obligations** that have not expired or been fulfilled
- Have **operational requirements** for retention that have changed since records schedule approval

Signing Authority Form



UNIVERSITY
Dalhousie Libraries

Records Management
Signing Authority Form

Faculty or Department - Name

Authorization:
(head of faculty or department)

Name *(Print)*

Position/Title *(Print)*

Signature

Date *YYYY/MM/DD*

I, the above signatory, hereby authorize the undersigned designate(s) the authority to authorize administrative records as per Dalhousie's records management disposition procedures.

Designate(s)

For Unit:

Name *(Print)*

Position/Title *(Print)*

Signature

Date *YYYY/MM/DD*

For Unit:

Name *(Print)*

Position/Title *(Print)*

Signature

Date *YYYY/MM/DD*

This form will expire three years after date signed.

Records Management Office Use Only
Office ID:
Recorded By:

QUESTIONS

Step 2

Inventorying Records

Records format	Disposition type
Electronic	Secure Destruction or Transfer to the Archives

Electronic Records Inventories

You have:

- Bagged the records and listing has been done when “Bagged’
- The manifest is your inventory list
- You must provide the manifest to the RMO along with the records disposition authorization form (RDA) (*more on this soon!*)

Step 3
Record Disposition Authorizations

A.K.A - RDAs

DALHOUSIE UNIVERSITY

What is an RDA?

- In accordance with the Records Management Policy, an RDA authorizes records identified under DalCLASS for disposition.

RDAs - Electronic

DALHOUSIE UNIVERSITY

Archival

Records Management Program

Records Disposition Authorization From

Electronic Records

TRANSFER to UNIVERSITY ARCHIVES

Purpose

In accordance with the Records Management Policy this form authorizes records identified under DalCLASS for the disposition of transfer to University Archives.

- Forward completed forms to DalRM@dal.ca for final authorization.
- A records inventory list **must** be included with form
- For further instructions refer to Records Management Office website or email DalRM@dal.ca

Unit Contact	**Signing Authority**
Name:	Name:
Position/Title:	Position/Title:
Department/Unit:	Signature:
Email:	Date Approved: YYYY/MM/DD

Description of Records	
DalCLASS Code(s):	Year Range:
Originating Storage Repository(ies):	
Disposition: **Transfer to University Archives**	Amount of storage:
Summary of content: *[a high-level description, 3-5 sentences]*	

(For more details see attached inventory)

Final Authorization

This authorizes that the records described and listed can be transferred to the University Archives as identified above.

Name: Michael Vandenburg, (Acting) Associate Dean Archives, Records Management, & Special Collections

Signature: _____ Date Approved: YYYY/MMM/DD

RMO Completion only: RDA number YY-###

Form created: 2022-01-07 rev: 2023-06-22

Destruction

DALHOUSIE UNIVERSITY

Records Management Program

Records Disposition Authorization From

Electronic Records

SECURE DESTRUCTION/DELETION

Purpose

In accordance with the Records Management Policy this form authorizes records identified under DalCLASS for the disposition of secure destruction (or deletion).

- Forward completed form to DalRM@dal.ca for final authorization.
- A records inventory list **must** be included with form
- For further instructions refer to Records Management Office website or email DalRM@dal.ca

Unit Contact	**Signing Authority**
Name:	Name:
Position/Title:	Position/Title:
Department/Unit:	Signature:
Email:	Date Approved: YYYY/MM/DD

Description of Records

DalCLASS Code(s):	Year Range:
Originating Repository*(ies)*:	
Disposition: **Secure Destruction/Deletion**	Amount of storage:

Summary of content: *[a high-level description, 3-5 sentences]*

(For more details see attached inventory)

Final Authorization

This authorizes that the records described and listed can be or sent for secure destruction as identified above.

Name: Michael Vandenburg, (Acting) Associate Dean Archives, Records Management, & Special Collections

Signature: _____ Date Approved: YYYY/MMM/DD

Confirmation of Secure Destruction/Deletion

Date: YYYY/MMM/DD

Completed by:
Name: _____
Signature: _____

Witnessed by:
Name: _____
Signature: _____

RMO Completion only: RDA number YY-###

Form created: 2022-01-07 rev: 2023-07-17

Step 4

Review & Authorize

Review & Authorize

SA comfortable with approving records for disposition…

**** All is good and the records outlined in the RDA no longer have operational value and can go….. What next?

Review & Authorize

✓ 1. SA reviewed and signed

✓ 2. Sent to RMO

3. Send RDA to RMO for final authorization
   - AD of Archives, RM and Special Collections reviews all RDAs for final sign offs *(as outlined in the RM Policy)*

4. RMO to contact submitting unit once Final Authorization is provided by the AD

Secure Destruction
vs
Transfer to the University Archives

What next?

The RMO will send instructions of next steps.

Secure Destruction
vs
Transfer to the University Archives

Your RDA is for Secure Destruction

Remember the RDA form for destruction?

The bottom has a spot that confirms the deletion (aka destruction) has occurred.

DALHOUSIE UNIVERSITY

Destruction

Records Management Program

Records Disposition Authorization From

Electronic Records

SECURE DESTRUCTION/DELETION

Purpose

In accordance with the Records Management Policy this form authorizes records identified under DalCLASS for the disposition of secure destruction (or deletion).

- Forward completed form to DalRM@dal.ca for final authorization.
- A records inventory list **must** be included with form
- For further instructions refer to Records Management Office website or email DalRM@dal.ca

Unit Contact	**Signing Authority**
Name:	Name:
Position/Title:	Position/Title:
Department/Unit:	Signature:
Email:	Date Approved: YYYY/MM/DD

Description of Records

DalCLASS Code(s):	Year Range:
Originating Repository*(ies)*:	
Disposition: **Secure Destruction/Deletion**	Amount of storage:

Summary of content: *[a high-level description, 3-5 sentences]*

(For more details see attached inventory)

Final Authorization

This authorizes that the records described and listed can be or sent for secure destruction as identified above.

Name: Michael Vandenburg, (Acting) Associate Dean Archives, Records Management, & Special Collections

Signature: _____ Date Approved: YYYY/MMM/DD

Confirmation of Secure Destruction/Deletion

Date: YYYY/MMM/DD

Completed by:
Name: _____
Signature: _____

Witnessed by:
Name: _____
Signature: _____

RMO Completion only: RDA number YY-###

Form created: 2022-01-07 rev: 2023-07-17

What to do after Final Authorization is provided for secure destruction…

Once you receive Final Authorization for secure destruction.

- ✓ Delete the original folder(s)
- ✓ Delete the bagged folder(s)

After everything is deleted, confirm with the RMO that everything has been deleted.

Secure Destruction

vs

Transfer to the University Archives

Once deleted let the RMO know.

Then .....

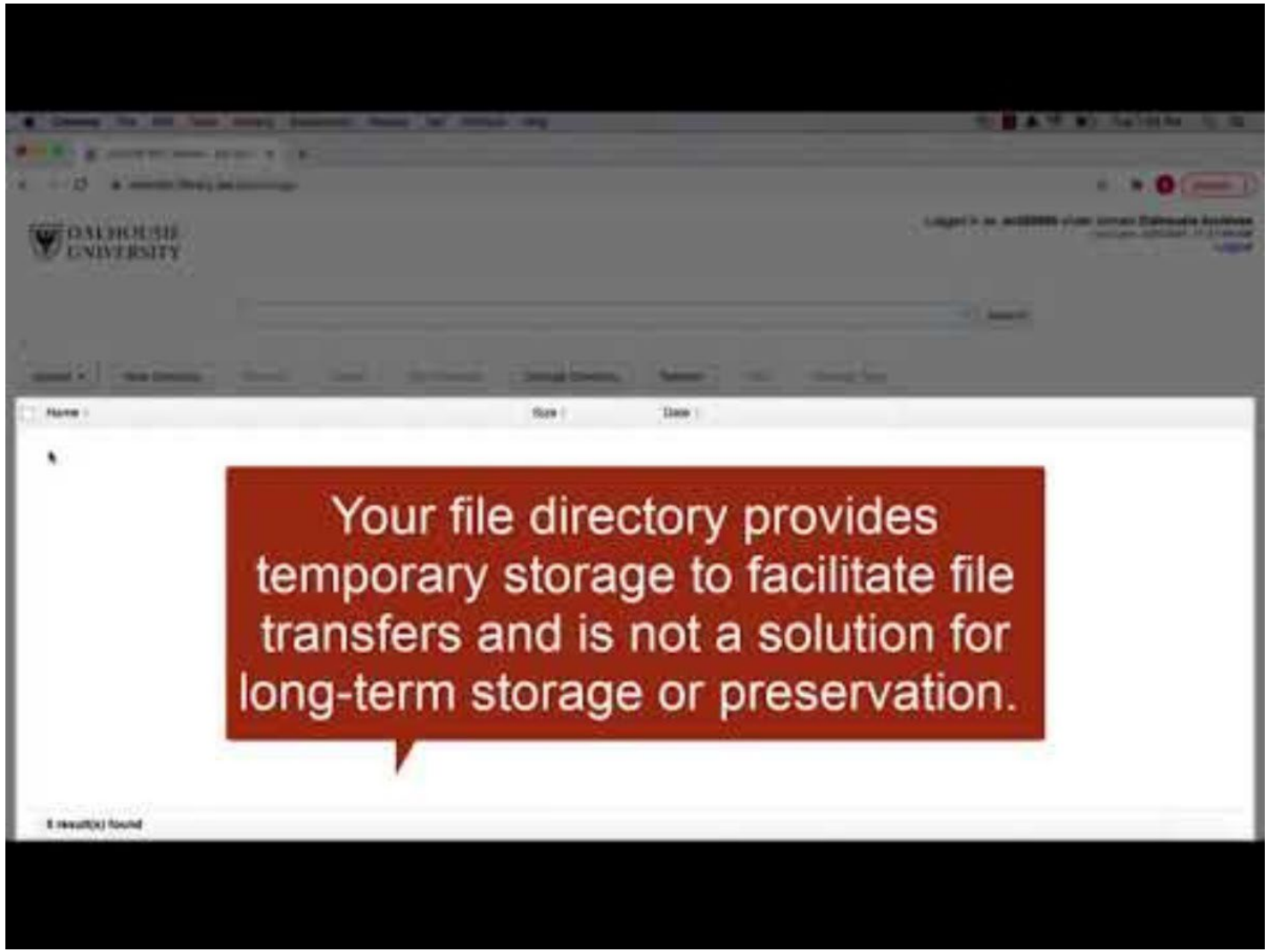
Celebrate

Secure Destruction
vs
Transfer to the University Archives

Your RDA is for Transfer to the University Archives

We have a video for that.....

What to do when Final Authorization is received for archival transfer…



What to do after Final Authorization is provided for archival transfer…

- Inform the RMO when the upload was completed
- Once the RMO is informed of the upload, they will:
  - Confirm with the University Archives that the records were successfully transferred

Transfer was a success!

Now what?

- The RMO will provide the submitting unit an accession number for the record(s) that were transferred to the University Archives.
- Once you hear from the RMO that the records are officially have been transferred of the University Archives, you can:
  - ✓ Delete the original files from your computer
  - ✓ Delete the bagged files from your computer

Celebrate

Accessing electronic records in University Archives

Records transferred to the University Archives via the Records Management Program are still be accessible to your department

If you want to access electronic records, you will have to:

- Reach out to the University Archives at archives@dal.ca
- Provide the accession number that you were given by the RMO
- Inform the Archives which record(s) you would like to access

THANK YOU

DalRM@dal.ca