

An aerial photograph of the Dalhousie University campus. The image shows various academic buildings, a large green soccer field with white markings, and a prominent building with a central tower and dome. A large yellow rectangular box is overlaid on the left side of the image, containing the title text. The overall scene is captured from a high angle, showing the layout of the university grounds.

# Records Management 101

What is it and how can it help me?





# Presenters

## Records Management Office

- Courtney Bayne  
University Records Manager
- Guy LeLievre  
Records Management Assistant




## 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.



# Overview

- What records management is
- Records management @ 
- Information life cycle and how value is determined
- Applying this to your work
- How the Records Management Office is here to help
- Resources
  - Determining what is a record
  - Email triage chart
  - Electronic storage repositories



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## What is Records Management?

Organizational function devoted to the management of information in an organization throughout its life cycle, from the time of creation or receipt to its eventual disposition.

*The right record  
To the right person  
At the right time*

*Don't worry Dal has a support office for this!*



# What is Records Management?

- Assists with how records are identified, organized and accessible to authorized users through every part of its life cycle.
- As it moves through the life cycle the information's value changes.



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## Why do RM? YouTube Video





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# Records management



- Located on the 5<sup>th</sup> floor of the Killam
- Personnel:
  - Dean of Libraries
  - University Records Manager
  - RM Assistant\* (\*50%)
- Email: [DaIRM@dal.ca](mailto:DaIRM@dal.ca)
- As per the RM Policy the RMO reports to the University Records Committee (URC)



# Records management @

The RMO regularly works with:

- ✓ *The Privacy Office*
- ✓ *Information Security & ITS*
- ✓ *University Risk and Assurance*



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# Records management



## RMO's role is to:

- Document what information (& data) is considered an institutional record and what is not.
- Identify how long & the reason(s) information needs to be retained.
- Help you identify where it can be stored/accessed.

&

Give you tools to help achieve this.



# Records management



Records Management Office (est. 2018) has created:

- ✓ Templates & Forms
- ✓ Guidelines & Best Practices
  - ✓ Procedures
- &
- ✓ Training (like this) to help support compliance with the policy



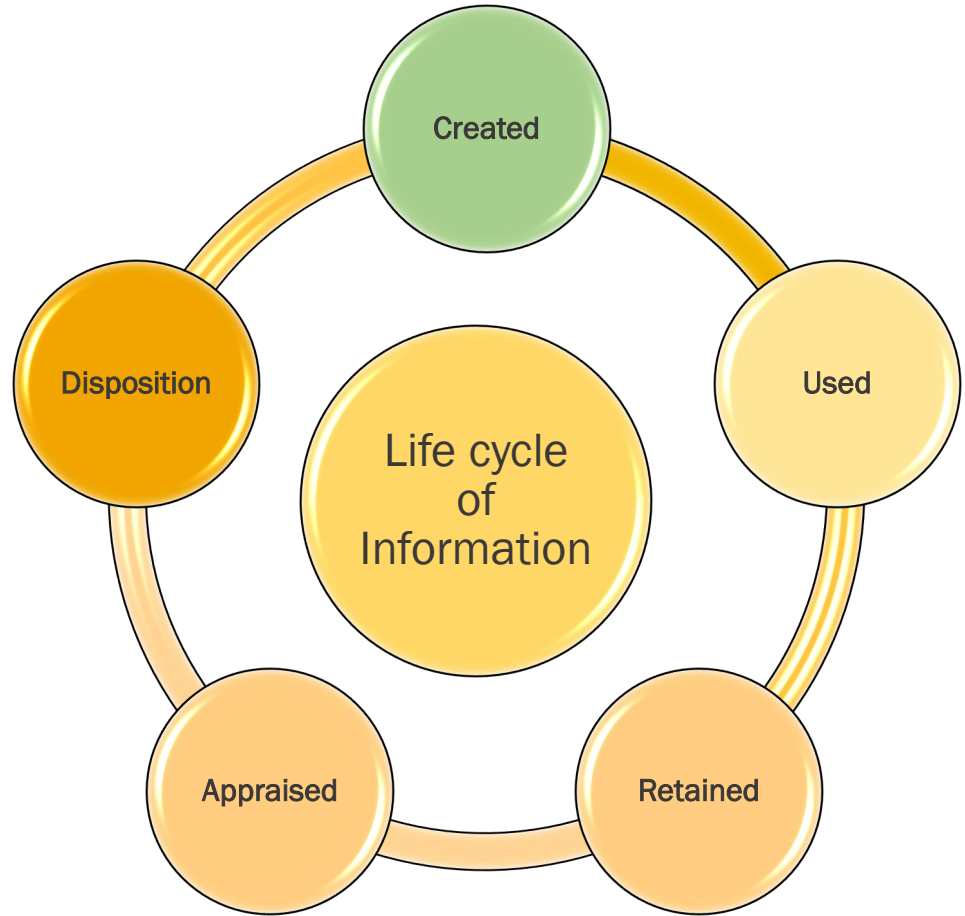
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## How is this all accomplished?

- RM looks at the life cycle of information
- We figure out what records are to be retained for business, historical, legal, operational or statutory requirements
- This is outlined in a records classification schedule.
  - This is a tool that identifies how long a record type is to be retained by accounting for all the above and what is to be done with the records after they no longer have operational value
- [DaICLASS](#) is Dalhousie's records classification schedule.



# Information's value





# How does this impact me?

## Things to think about

### Created

- Saved where?

### Used

- Saved where?
- Shared how?
- Collaborate on with who and how?
- What are copies vs the 'actual record' or 'source of truth'?

### Retain

- Saved where?
- For how long?
  - Copies vs the records
  - Primary vs secondary office

### Appraised

- *Is it a record?*

### Disposition

- I no longer need it – *or do I?*
- *What do I do with it now?*
- Secure Destruction
- Transfer to the University Archives
- Or something else?



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## **RMO Services**

Training & Advisory services related to:

- Figuring out what are records & what are not records
- Provide direction on what is to go through RM program & what does not
- What to do with the information you have, inherited, or are trying to get rid of
- How & when to get rid of information properly regardless of format
  - Electronic
  - Paper
  - Other



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## **RMO Services con**

- Where to store what
- Email management
- Completing RM ‘paperwork’:
  - Inventories
  - Disposition Authorizations
  - Signing Authorities
  - Holds
- Shared repository clean ups
- Use of MS Teams
- When to digitize records *and when not to*
- Departing employees



## Find us how?

Website under Dal.ca:

- Libraries > Services > Records Management
- <https://libraries.dal.ca/services/records-management.html>

Search Dal.ca 🔍 Menu ☰

‘Records Management’

Google

Or

‘Dalhousie Records Management’



# Some Resources



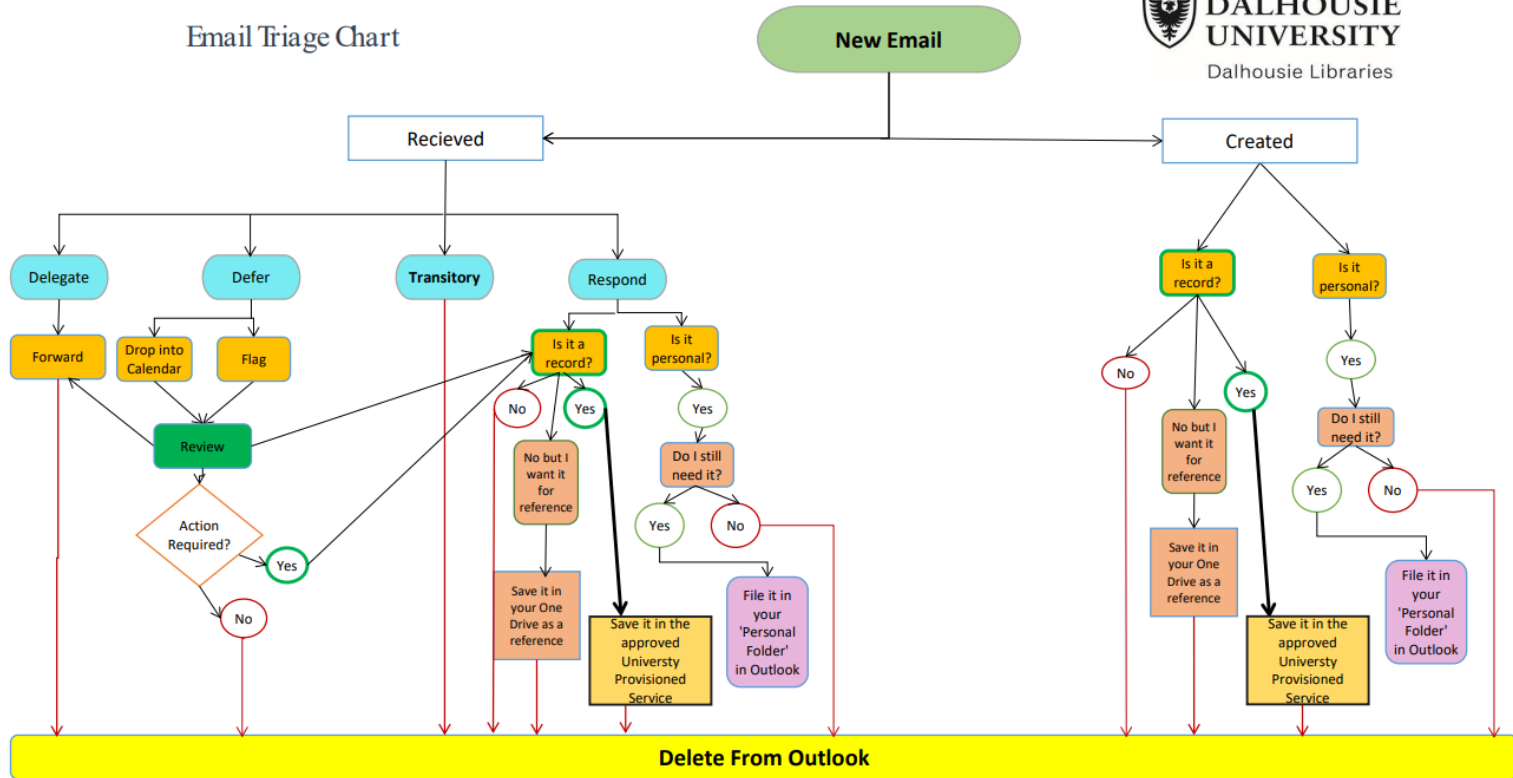
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## **On the RMO Website**

- Forms
- Guidelines & Best Practices
- Procedures
- Templates
- Tools
- Training
  - Slides & Videos

+ more

# Outlook Email Triage Chart [pdf]





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## Determining an what is a 'Record'

A record is a record regardless of format.

- [DaICLASS](#) is the main records management tool that supports the RM Policy.
- Refer to [DaICLASS](#) to help determine what records you have.
- [DaICLASS](#) outlines how long a record needs to be retained, what the disposition is, and its information security classification.



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



- 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:

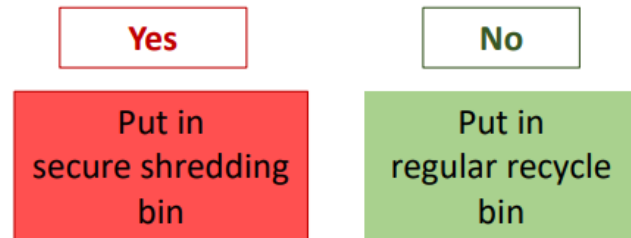
- HR
- Financial Services
- Registrar Office
- FGS

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

- 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?*





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## Storage of Administrative Records

- All records are to be retained in an approved repository as outlined in the [Electronic Storage Guidelines](#) according to their information security classification.
- Once collaboration has been completed on a record, ensure that the record(s) and any supporting documents, are saved in an approved repository.
- Follow your **department's file storage procedures**, ask your manager/supervisor, or contact the [Records Management Office](#) for guidance.



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## Storage of Administrative Records

- Include storage as part of the workflow
- By defining a workflow, and expectations of use, the ‘official record’ should be stored outside of TEAMS, so what is on TEAMS would be considered a *duplicate* or *reference* copy.
- Records on a TEAMS site are not to be retained longer than what is outlined in [DaICLASS](#).
- It is recommended to retain records on a TEAMS site as long as they have value to the unit's daily use.
- If they no longer have value to the purpose or intent of the TEAMS site, they should be removed and filed accordingly.

Everyone at Dalhousie has a responsibility for effectively managing and protecting University Information in their care, in accordance with university policies, so that we:

- **protect University Information** from theft, security breaches or data losses
- **ensure continuity** of university operations
- **meet requirements** of federal and provincial regulations and policies

## WHAT UNIVERSITY INFORMATION DO I HAVE?

### PUBLIC



Approved for public distribution.

*Departmental websites, brochures, published marketing information and course descriptions, published reports and financial statements, faculty and staff directory information.*

### INTERNAL



For use within a specific university workgroup or unit.

*Office or unit-specific policies or procedures, planning documents, service provider contracts (unless confidential), internal communication regarding projects, floor plans and access codes.*

### CONFIDENTIAL



Highly confidential business or personal information, or information from a critical system. Intended for specific purpose.

*Personal information, applications and resumes for employment, data about sensitive systems, patent applications, draft or strategic plans or financial statements, internal audit reports, proprietary info, info related to legal proceedings.*

### SENSITIVE



Regulatory or contractual obligation to manage in a specified manner exceeding other standards











**If you are uncertain as to how University Information should be classified contact the Records Management Office (dalrm@dal.ca) or talk to your supervisor, department head, chair or dean for guidance.**

## GUIDELINES TO NOTE

- **University Information should not be stored on a computer (C: drive)**, as it should be available to departments and working groups and maintained in a location that meets standards for backup and retention.
- **For departmental use, SharePoint is recommended.** That said, SharePoint as a collaboration tool requires training to be used effectively. It is strongly recommended that units not use SharePoint unless they have received sufficient training.
- **Email is not a storage solution for University Information.** University Information transmitted by email that must be retained should be stored as soon as reasonably possible on another appropriate university provisioned service.
- **Use the more stringent classification level** if you are storing university information with different classification levels in one place.
- **Research information that includes personal information** or has **specific standards or contractual provisions must be stored in accordance with these guidelines** or other specified standards. For all other research information, it is the faculty member's discretion to determine what tools are used, though following these guidelines is recommended.
- **When in doubt, contact the Records Management Office** or talk to your supervisor, department head, chair or dean for guidance about how University Information should be categorized and the best means of storing it.

## [Electronic Information Storage Guidelines](#)

## WHERE DO I STORE MY INFORMATION?

SERVICE	WHAT IS IT?	PUBLIC	INTERNAL	CONFIDENTIAL	SENSITIVE
 <b>Network Attached Storage (O: Drive)</b>	Storage provided to departments and units at a charge to store operational information, backed up daily.	✓	✓	✓ <sup>1</sup>	✓ <sup>2</sup>
 <b>Your local computer (C: Drive)</b>	Your individual computer.	✓	✗	✗	✗
 <b>Office 365 Exchange Email</b>	Your dal.ca email account.	✓	✓	✓ <sup>3</sup>	✓ <sup>3</sup>
 <b>Office 365 OneDrive for Business</b>	Online (file) storage provided to all employees through Office 365. Offers the ability to both store and share files.	✓	✓	✓ <sup>1</sup>	✓ <sup>2</sup>
 <b>Office 365 SharePoint</b>	A platform of tools provided by Microsoft that encompasses features including internal websites, file storage, business workflows, and electronic forms.	✓	✓	✓ <sup>1</sup>	✓ <sup>2</sup>
 <b>Other Office 365 tools</b>	Various tools available to the Dal community through Office 365 to communicate and collaborate, such as Teams, Yammer, Sway, Video/Stream, etc.	✓	✓	✗	✗
 <b>Select major services</b>	Core institutional services to support operations, including Banner, Brightspace, DalCard, myDal	✓	✓	✓	✗
 <b>External portable storage media</b>	USB sticks, external hard drives and other portable storage.	✓	✓ <sup>4</sup>	✓ <sup>4</sup>	✗
 <b>Other university provisioned services</b>	Services provided by Dalhousie but not managed by ITS (Romeo, Mimir or other systems, for example).	✓	✓	✓	✗
 <b>Self-provisioned service</b>	Services not approved for university use. If you have questions about a particular service, please contact ITS.	✓	✗	✗	✗

## Electronic Information Storage Guidelines

### Please consult with your department to confirm if further information management guidelines apply.

1. Where the university is the custodian of personal health information, that information should be stored on a University Provisioned Service specifically for personal health information in order to meet regulatory requirements and best practice standards. Where the university is the recipient of personal health information by means such as email from external doctors, health facilities or other third parties, this information should be regarded as "Confidential."

2. In accordance with approved procedures for University Information.  
NOTE: No unit should store credit card information.

3. Microsoft Office 365 Email is encrypted in transit and within the dal.ca domain. If email is shared externally (to non dal.ca recipients) it is not encrypted in transit. If encrypted secure transition to external email accounts for external users is required, please contact ITS.

4. Data should be encrypted.





Digitization Things to think about

Email Best Practices

Shared Drive Clean-up - Where do I start?

Electronic Records – How can I get rid of them? Part 1  
&2: Prepping and Sending

MS Teams - Things to think about

Digitization – Things to think about

**Additional  
Training  
sessions**

**More to come each term!**

# Thank you

[DaIRM@dal.ca](mailto:DaIRM@dal.ca)



