

King's University College Records Centre Guide

Purpose:

King's University College operates a Records Centre, located in the basement of the Cardinal Carter Library, to store and provide retrieval of college records. The Guide establishes the records management procedures that ensure records can be maintained, located and retrieved within a reasonable time, and that the disposal of records adheres to the individual department's retention schedule. The Guide serves to support the protection of privacy and freedom of information services throughout the college.

This service is available to all administrative units of the college and King's University College Student Council. Official records are accepted for storage in accordance with approved retention and disposal schedules, as part of records management projects, or in response to ad hoc requests for assistance. See **appendix I** for records management definitions.

Neither artifacts, blank forms, supplies, nor other non-records will be accepted for storage, nor will non-university records (e.g. individual faculty members' papers).

Records transferred into storage under the auspices of the Records Centre remain the property of the transferring administrative unit. They are not disposed of without additional written authorization from the originating unit. Once placed in storage, authorized staff of the unit can retrieve records when they are needed. Each Budget Unit Head will designate persons authorized to access the unit's records. No other access is permitted without prior approval of the transferring unit. A list of authorized personnel for your department can be provided. Please update the library when new access is required.

Guiding Principles:

1. Good records management is essential in creating, preserving, using and disposing of the information required for an organization to fulfill its obligations and meet the expectations of its stakeholders.
2. The policies and procedures are based on current professional standards and best practices.
3. Responsibility for preserving and maintaining records rests with the organization as a whole and with individuals within the organization.
4. The appropriate use and re-use of information contained within records is guided by records management policy and procedures and any current legislation.

5. Records are protected from inappropriate access, alteration and usage.
6. College records of archival value are preserved and access provided where restrictions do not apply.
7. Personal information contained in University records are maintained and disposed in an appropriate and legal manner.
8. All persons responsible for retrieving records from the Centre sign and submit a Confidentiality Waiver Form. This can be found under [Human Resources Forms](#) on the Extranet under Forms, Applications and Manuals. Please send the signed form to the library address to the Information Resources Assistant (Cataloguing, Archives and Records Management).

Records Confidentiality and Security

All employees need to be aware of protecting the confidentiality and security of King's University College's records and preventing unauthorized disclosure to third parties (i.e., persons both inside and outside King's College University without a need to know). King's University College's Privacy Policy can be found [here](#).

What Boxes Should I Use?

We use and recommend Neutracor File Folder and Record Storage Boxes. These come in two sizes: 10"x15-1/2"x12-1/2", and 10"x15-1/2"x7." We recommend that each department purchase 25 of the larger size, as there is a price break at 25. Also, 25 (or more) of the smaller size could be purchased and the cost shared between the departments.

The boxes are available from Carr McLean. Catalogue numbers are: Large box - 95-368; Small box - 95-370.

For records which are to be withdrawn after a number of years, savings could be realized by the use of Bankers Boxes, Carr Mclean catalogue number 53-433 or 53-434. The second number refers to boxes with attached lids, which are preferable. However, boxes with separate lids are acceptable and are lower in price.

For current pricing, search for the catalogue number on Carr McLean's web site at www.carrmclean.ca or call 1-800-268-2123. Please contact Central Services at ext. 4314 to inquire about purchases for your department.

Boxes can be provided by the library, if available, with the cost of said boxes billed back to the department. Only a few boxes are kept on site at the library, so for large submissions to the Records Centre boxes should be purchased by the submitting

department.

How Do I Prepare to Send Boxes to the Records Centre?

Fill out the [Records Centre Access Form](#) and create a typed list of contents. Include the department name and dates of the records contained in the box. Email the form and list to kucir@uwo.ca. You should receive a reply within 24 hours to arrange a date for the transfer.

How Should I Pack the Boxes?

1. Ensure that the records are clearly labelled and are placed in the boxes in order (e.g. chronologically, alphabetically etc). Surnames must not appear on the box label.
2. Box all records from the same series together and try to ensure that boxes within a series are full. Do not mix records from more than one series in the same box (e.g. do not pack Employee Files and Invoices in the same box).
3. Do not over pack the boxes – the top of the boxes should be able to close without force and the sides of the boxes should not bulge.
4. Include inside the box and on top of the files a typed list of contents. Include the department name and dates of the records contained in the box.

What Will the Records Centre Do with the Boxes?

On receipt at the Records Centre, a box label will be produced from the information provided in the typed list of contents. A unique number will be printed on the label, and the box will be placed in secure storage. A list of each department's inventory, as arranged in the [records retention schedule](#), will be provided to the authorized contacts upon request.

What If I Need the Files Back?

When you need access to the files that are stored in the Records Centre do the following:

If you are on the authorized access list:

1. From the departmental list determine the box number of the records you want to retrieve.
2. Determine whether you need a specific file or the entire box.

3. Fill out the [Records Centre Access Form](#) and email the form to kucir@uwo.ca. Provide the following information:
 - a. Box number
 - b. File title (if you want a specific file)
 - c. Arrange a time to either have the file delivered or come to the Library and one of the persons listed above will accompany you to the Records Centre.

If your name is not on the authorized access list:

1. Contact one of the people listed and ask them to request the file for you.
2. Or, if you will need to request files on an ongoing basis, ask your Budget Unit Head to have your name added to the list.

Sources: [Western Archives, University of Western Ontario](#)

[De Paul University](#)

[Queen's University](#)

Appendix I: Definitions of Records Management Terms

Access: The right, opportunity, means of finding, using, or retrieving information.

Archives: Records that are appraised to have archival or continuing value; the place where archival records are stored; the program responsible for selecting, acquiring and preserving archives, making them available, and approving destruction of other records.

Confidential Records: Records received, created, communicated, transmitted, or otherwise shared in secret or part of a confidential relationship, and will not be disclosed beyond those individuals who have reason to know the contents or existence of the records.

Destruction: The process of eliminating or deleting records, beyond any possible reconstruction.

Destruction Hold: The procedure used to temporarily cease destruction of certain groups of records, even if they are eligible for destruction.

Disposition: A range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments.

Document (noun): Recorded information or object that can be treated as a unit.

Disposition: The process of removing inactive records from active storage areas for off-site records storage, management in the archives, or for destruction.

Electronic Record: A record created and/or maintained by means of electronic equipment.

E-Mail: An Internet protocol that allows computer users to exchange messages and information in real time with other users, locally and across networks. E-mail is not a particular document type, but a delivery method for many document types. While some e-mail messages may be official records, others are not.

Inactive Records: Records that are related to closed, completed, or concluded activities. Records become inactive when they are no longer routinely referenced but must be retained to fulfill legal, regulatory, operational, or other retention requirements.

Nonrecord Material: Material or documents not considered to fall within the definition of a record, such as document drafts that have been superseded by official records and external publications, such as trade journals or catalogs that are kept for purposes of reference or convenience. Nonrecord documentation does not appear on a records retention schedule and may be destroyed without authorization.

Official Records: Complete and final records that are required to be retained for business, including legal reasons. Official records provide evidence of King's University College's organization, business functions, policies, decisions, procedures, operations, and internal or external transactions, and reflect King's University College's intent to preserve such information.

Record: Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.

Records Management: Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes

for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

The Records Management Program is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in records creation, maintenance, use, and disposition to achieve adequate and proper documentation of the policies, processes, and transactions at King's University College.

Records Retention Schedule: A document that identifies and describes King's University College's records at a functional level, provides instructions for the disposition of records throughout their life cycle, and assures that records are retained for as long as necessary based on their operational, financial, legal and continuing value.

Retention Period: The length of time records must be kept for legal, regulatory, or operational or other purposes.

Security: Measures taken to protect materials from unauthorized access, change, destruction, or other threats.

Transfer: Change of custody, ownership and/or responsibility for records.

Unofficial Records: Records that are not required to be retained for business or legal reasons. These may include duplicates or "convenience" copies of official records that have not been annotated and may be destroyed when no longer referenced.