Records Management Policy and Procedures Manual

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RECORDS MANAGEMENT POLICY

1. <u>Records Management Vision Statement</u>

The United Church of Canada, and its units ("United Church") recognizes that Records are a valuable asset. The efficient management of United Church's Records is necessary to support its core functions, to comply with legal and regulatory obligations and to contribute to effective overall management.

The United Church is committed to ensuring the effective and responsible management of its Records and Record-keeping Systems throughout the organization. This is achieved through this Records Management Program.

2. <u>Defined Terms</u>

See **Appendix 5** of the Records Management Policy and Procedures Manual.

3. <u>Purpose</u>

The purpose of the Records Management Policy is to establish an organization-wide Records Management Program designed to safeguard Records of the United Church's operational activities and transactions to ensure preservation of records of legal, administrative and historical value. The Records Management Program shall consist of this Policy, the related Procedures Manual, the Records Retention Schedule and the people, committees and systems that are designated and defined in the Procedures Manual.

4. <u>Scope</u>

The Policy requires that the Records Management Program be applied consistently across United Church by all employees. The Policy applies to the creation, receipt, use, handling, maintenance, storage and disposition of all Records.

Records may be created, received or maintained in hard copy or in electronic form. Any Record created or obtained in the course of an employee's daily duties belongs to the United Church.

5. **The United Church of Canada Records**

"Records" are documents, data or other recorded information, in all media and forms, created, received, and maintained as evidence and information by the United Church, of its legal obligations or transactions. This policy covers Records which have been created on all media and formats including but not limited to paper, electronic documents, email, social media, photographs, film, audio, video tapes, USB key, and laptops.

6. **Records Retention Schedule**

The Records Retention Schedule is the key tool for the units of the United Church to manage their Records effectively. It establishes standardized retention rules for records and controls how these records are to be disposed of once they reach the end of their active life. It determines when the active life of a record ends and when it may be transferred to an inactive storage area and establishes the time and method of disposing of the record.

All of the United Church' records must be retained according to the retention periods set out in the Records Retention Schedule.

All United Church of Canada employees are responsible for managing the records they own or control and must adhere to records management policies and standards. United Church of Canada employees are responsible for ensuring that they have read and adhere to the current manual.

The United Church's records shall not be removed from its control or destroyed except under the authority and according to the terms of the Records Retention Schedule.

The Records Retention Schedule is **Attachment 1** to this manual.

7. **Suspension of Records Retention Schedule**

Suspension of the Records Retention Schedule may at times be required as a result of anticipated or pending legal or regulatory proceedings or investigations or audits. There may also be other limited circumstances where records are required to be maintained to evidence events and actions in excess of the periods set out in the Records Retention Schedule.

In such circumstances the Legal or Finance unit are responsible for communicating a Legal or Tax Hold. The effect of a Legal or Tax Hold is that destruction is suspended for impacted Records. No Records impacted by the Legal or Tax Hold will be destroyed until the Legal or Tax Hold has been lifted and the lifting of the Hold has been clearly communicated to impacted Employees. Only the General Counsel can lift a Legal Hold. Only the Chief Financial Officer can lift a Tax Hold.

All employees share the responsibility of advising their Managers and the Records Coordinator promptly if they become aware of any circumstance that would necessitate the suspension of the records retention schedule in order to preserve Records.

8. Administration of the Records Management Program

Senior Management Team

The United Church of Canada's Senior Management Team has ultimate authority regarding all decisions relating to Records Management and Records Retention.

However, the Senior Management Team should designate a Records Steering Committee (the "Committee") to make recommendations related to the development, control and review of records management practices, policies including procedures and guidelines and roles for records management functions. The Committee is responsible for the review and approval of the Records Retention Schedule and its subsequent revisions. The Committee will provide advice to the Senior Management Team through the Committee chairperson with background advice from the Records Coordinator as appropriate. The Committee chairperson will report to the Senior Management Team as appropriate.

General Council Archivist or Designate as Records Coordinator

The General Council Archivist or their designate is responsible for the ongoing administration of the Records Management Program. The Records Coordinator will coordinate the records program with all units and will coordinate all initiatives to manage ongoing recordkeeping activities. The Records Coordinator will report to the Committee on the ongoing effectiveness of the Records Management Program. The Records Coordinator will co-ordinate records management training for employees. The Records Coordinator will monitor employee compliance with records management policy and procedures and will maintain the Records Retention Schedule.

Executive Ministers/Officers

All unit Executive Ministers/Officers have overall responsibility for the management of records generated by their units' activities, namely to ensure that the records created, received and controlled within their Unit and the procedures they adopt, are managed in a way which meets the goals of the Records Management Program.

Administrative Assistants

Administrative Assistants in each unit will be responsible for ensuring that the unit's records are managed according to the Records Retention Schedule with support from their Executive Ministers/Officers and the Records Coordinator. Administrative Assistants will ensure that all unit policy, procedures and guidelines are observed in an orderly fashion. Administrative

Assistants will be provided with records management training in order to support their duties with ongoing records management tasks. In addition, the Administrative Assistants will coordinate transfer of paper documents to onsite or offsite storage and retrieval and/or destruction of paper documents as required.

This Policy will be disseminated to all The United Church of Canada employees and provided to all new employees as part of their on-boarding process.

Adherence to this Policy is mandatory.

9. Monitoring and Auditing of Records Management Program

The Committee will be responsible for coordinating an annual operational audit of the Records Management Program to assess its ongoing performance and success.

10. Review Process

If any employee becomes aware of legal or regulatory requirements which alter current retention requirements or if operational requirements mandate changes to this Policy or the Retention Schedule, or if new categories of Records are defined, the background information and request should be forwarded to the Records Coordinator for review by the Records Management Committee.

The United Church of Canada's Records Retention Schedule will be reviewed every two years.

Records Management
Procedures Manual

1.   PURPOSE OF THE MANUAL

Records are important information assets and a resource of great value to United Church and should be managed effectively and efficiently. However, filing and saving all records does not constitute effective records management.

The purpose of the Records Management Manual is to help employees understand the records management principles applicable to the information they create and receive and to help employees manage their information in a secure and efficient manner.

The Records Management Manual sets out the basic requirements necessary to preserve records needed to protect the rights and interests of United Church. Employees are required to use the tools being developed including this Records Management Manual and the Records Retention Schedule.

Capturing authentic and reliable records and maintaining them for as long as they are required is fundamental to good record keeping. This Manual provides general guidelines for the day-to-day records management practices which should be followed by all employees. All employees are responsible for applying the recordkeeping and disposal instructions from the Records Retention Schedule to their records.

2. OVERVIEW OF RECORDS MANAGEMENT

What is a Records Management Program?

A Records Management Program is a planned, coordinated set of policies, procedures, people, systems and activities that are required to manage records.

The goal of the United Church's Records Management Program is to ensure that:

- Records are available when needed.
- Records can be accessed.
- Records can be interpreted.
- Records can be trusted.
- Records can be maintained through time.
- Records are secure.
- Records are retained and disposed of appropriately.
- Employees are trained and aware of their responsibilities.

What is Records Management?

Records management is the process by which an organization identifies and manages all records throughout their life cycle i.e. from creation all the way through to their eventual disposal.

The "life cycle" of records creation, maintenance, use and disposition is a way to track the stages when records are commonly used. Upon creation, records will be used as evidence or as reference to an event. Over time, the record will be referred to less and less frequently, until it is no longer required. At that point a decision is made to either destroy or archive the record depending on legal and/or regulatory requirements and whether it has permanent or archival value.

What is the purpose of Records Management?

Over the past few years, there has been a significant increase in the number of documents created and stored at The United Church in both paper and electronic formats - in Outlook e-mail folders, on networks, , on computer desktops, in filing cabinets and in workspaces. Units have generally adopted a conservative approach with respect to the disposal of documentation which has contributed to an increase in the volume of documents stored on-site at The United Church premises.

Records constitute the organization's 'memory' and therefore provide both a valuable resource for operational continuity, and a legal record of operational decisions. They must be managed accordingly. The value of preserving records must be weighed against the cost of maintaining them. Records Management optimizes the accessibility of records while simultaneously applying controls to ensure that they are effectively and efficiently stored or disposed of, as and when required.

What are the benefits of Records Management?

Records management will result in a number of positive benefits for units, including:

- Controlling the creation and growth of records.
- Reducing operating costs.
- Safeguarding vital information and preserving the organization's memory.
- Ensuring legal and regulatory compliance.
- Increasing efficiency and productivity.

Records management helps in the administration of the United Church's records by allowing employees to locate information reliably and efficiently. It will also help The United Church to respond more efficiently and expeditiously to legal and other requests for records. The ability to find the entirety of the records related to a particular subject, and to provide them in a reasonable time period is good management, good policy and for some records a regulatory requirement.

3. ROLES AND RESPONSIBILITIES

The General Council Archivist or their designate has oversight of the Records Management Policy and Program. The Policy delegates authority to the *Records Management Committee* which is responsible for planning, developing, implementing and administering The United Church of Canada's Records Management Program.

In support of the Records Management Program, specific responsibilities are assigned as follows:

- Senior Management Team
- Records Management Committee
- The United Church of Canada Executive Ministers/Officers
- General Council Archivist or Designate as Records Coordinator
- Unit Administrative Assistants
- United Church of Canada employees
- IT employees

Role of the United Church of Canada Senior Management Team

Information within The United Church of Canada is a key asset. Information is the most difficult and expensive asset to replace if it is lost. The Senior Management Team has the responsibility of ensuring that resources and systems are provided to manage information appropriately. The ultimate authority for all decisions relating to records management and retention resides with the Senior Management Team. The Senior Management Team will approve all Records Management Policies and Procedures and other related guidelines as appropriate.

The Lead Executive with responsibility for records management is the *General Secretary or their designate* who will ensure that the Records Management Program is adequately resourced. The Records Coordinator represents records management interests and policy.

Role of Records Steering Committee

In order to implement the Records Management Program and manage the Records Retention Schedule on an ongoing basis, the Records Management Committee will review significant changes to the Records Management Program. The Committee comprises representatives from each of the units who will meet periodically to consult on issues, enhancements or changes to the Record Management Program.

The Records Management Committee responsibilities include:

- Making decisions related to the organization, retention and disposition of records including review and approval of new and revised retention and disposition schedules.
- Developing and maintaining records management policies and procedures.
- Delegating records maintenance functions to appropriately trained Administrative Assistants within a unit.
- Monitoring of the Records Management Program to ensure update and compliance with records management policy and procedures.

Role of General Council Archivist or Designate as Records Coordinator

The General Council Archivist or Designate as Records Coordinator is responsible for the overall maintenance of the United Church Records Management Program. In this regard, in consultation with and guidance of the Records Management Committee, the Records Coordinator will:

- Administer record management policies and procedures.
- Maintain the Record Retention Schedule.
- Seek approval of amendments to the Retention Schedule and disseminate as appropriate.
- Maintain Classification Scheme to support the Records Retention Schedule.
- Coordinate the administration and control of all The United Church of Canada records.
- Develop and deliver The United Church of Canada's records management training program.
- Ensure employees are informed on current records management and retention policies and practices.
- Provide notice of disposition of records according to records management policies.
- Monitor and document transfers, destruction and disposition of records.
- Serve as liaison to unit Administrative Assistants on records management and retention policies and practices.
- Coordinate records retention compliance audits, notify units of noncompliance and institute corrective steps to bring units into compliance.

- Consult with Records Management Committee as appropriate.

Role of the Administrative Assistants in Units

Administrative Assistants are employees within each unit who are responsible for overseeing the units' official records and for ensuring their unit fulfills their recordkeeping and records management responsibilities. They are responsible for monitoring compliance by unit staff with records management requirements.

In consultation with the Executive Minister/Officer, the Records Coordinator, the Administrative Assistants will:

- Notify the Records Coordinator of new or discontinued record series.
- Ensure that the Records Coordinator is advised of any issues, problems or new requirements associated with the management of their records or any changes required to the Classification and Records Retention Schedule.
- Ensure all Records Management Policies, Unit Manuals and other related Records Management resource materials are updated as necessary.
- Receive records management training, as required.
- Box and inventory records designated for transfer to off-site storage, review records for destruction and, as necessary, and prepare records destruction authorization forms and obtain approval for the disposition of such records from management.

Role of IT Staff

The IT Unit is responsible for the day to day maintenance of the electronic systems that fulfill the function of records repositories. The IT Unit will work in conjunction with the Records Coordinator to ensure that records are properly managed, protected and appropriately preserved for as long as they are required for operational, legal and long term preservation purposes.

Role of Executive Ministers/Officers for Records Management

Effective records management is the responsibility of every manager. Executive Ministers/Officers are responsible for overseeing the effective implementation of the Records Management Program within their respective unit. They shall ensure that all employees are made aware of their record keeping and records management responsibilities and obligations as outlined in the Records Management Manual, and that training for new employees or refresher training for current employees has been completed.

Storage Facility Coordination

The Records Coordinator will manage the onsite inactive storage facility or coordinate transfers to or from an offsite storage facility. This will include arranging transfers, retrievals to and from offsite facilities and/or archives, and physical management of onsite inactive facilities. Standards for physical inactive facilities onsite are required to insure that records are stored in a location that provides both physical protection and secured access. This includes inventory and labeling of stored records to allow for life cycle records management.

Role of the United Church of Canada Employees

All United Church employees have a responsibility to ensure that operational activities for which they are responsible are properly documented and that accurate and reliable records are created, filed and maintained in accordance with Records Retention Schedule.

United Church of Canada employees are responsible for ensuring they create full and accurate records of their operational activities. In this regard, United Church of Canada employees are responsible for ensuring that records of operational activities that are created or received are saved into the recordkeeping systems as soon as practicable so that documents and records are managed consistently across the organization.

4.   TYPES OF RECORDS

What is a Record?

Records are the various documents generated and received, which record the decision-making processes, advice and or/direction of United Church's activities. Records must have value in order to be maintained and preserved as evidence of its administration, operations, policies, procedures and decisions[1].

Records can exist in any media format including but not limited to hardcopy documents, drawings (graphic), photographs, films, video tapes, digital information recorded on CD-ROMs and email, voice recordings, instant messages and other formats.

Records generated during an employee's employment belong to The United Church of Canada and, therefore, all records created by employees must be treated in accordance with the Records Management Program.

Examples of Records

Examples of a record include but are not limited to:

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[1] According to ISO15489, the international standard for Information and Documentation Records Management, the definition of records is "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".

a) All Documents identified in the Records Retention Schedule.
b) Documents that record final decisions or advice.
c) Documents that reflect the operations of the United Church (e.g. monthly reports, meeting minutes)
d) Documents that initiate, authorize or complete a transaction.
e) Drafts where retention is necessary as evidence of approval or the significant evolution of decisions contained in the document.
f) Copies containing significant annotations and amendments to original records.

Official Records

Official Records are records which are created, received or accumulated in the course of official operations of The United Church of Canada. Official records support the memory of each unit and The United Church of Canada as a whole and serve as a historic record of United Church's activities.

Employees should consider the following criteria when determining whether a record is official:

- If you are the originator of the record or your unit is responsible for the functions the records support, you will create an Official Record.

- If there are multiple copies of a document available, the designated "Responsible Unit" set out in the Records Retention Schedule is responsible for retaining the official record. If you are not the "Responsible Unit" and hold a copy of the document available, this means that the document you hold has already been captured as an official record and your copy is an unofficial or a 'convenience' copy. You can dispose of this copy once it has served its purpose i.e. referencing.

- If you determine that only part of your record is a duplicate, you should create a new Official Record of the entire content of the record.

- If your record provides additional evidence to support an official record, then they are official also, and should be deemed to be an Official Record.

It is important to remember that you cannot have two versions of a record, if you think you have two versions, each version is deemed to be a separate record.

Stewardship of Official Records

The proper management of Official Records is the responsibility of the owner or creator of the records.

Noting that in many units, work is multi-faceted and shared by many individuals, you can seek assistance from your Executive Ministers/Officers or the Records Coordinator if you are unsure as to your responsibilities with respect to specific records.

Format of the Official Record

Each unit will have to make their own decisions on which format some of their Official Records will be i.e. paper vs. electronic-based (both may exist) scanned vs. original signatures, (keeping in mind that record authenticity is vital). In an ideal situation, only one record of a particular matter should exist if the Records Management Program is to run effectively.

The law generally prefers records in their original format in which they were created. When we define records as documentary evidence of operational transactions, the official or original record is the one created or received in the same media format in which the actual transactional exchange occurred i.e. a contractual agreement usually becomes an effective transaction when the parties sign the name on the printed document. Even if the text of the agreement was created in a word-processing application, the signing occurs in the paper world and the printed version will contain signatures, stamps etc. to provide reliable evidence of the transaction so this becomes the official record. Any electronic documents that are created electronically in the conduct of United Church operations, that are not signed in ink are also official records.

Transitory Records

Transitory records are records that are not required to meet legal, fiscal or operational needs. A transitory record is required for a limited period of time for the completion of a routine action, or for the preparation of an official record. Transitory records are not incorporated into the Records Retention Schedule or filing systems and may be discarded at any time.

How to deal with Transitory Records

Transitory records should not be saved into the Records Management System.

Transitory records have a very short lived administrative, legal or fiscal value and should be disposed in an appropriate manner once their use has expired. Typically the retention is not a fixed period of time and is event driven; it maybe a short as a few hours and could be as long as several days, weeks or months.

Transitory records must be routinely destroyed or deleted when the task or activity to which they relate is completed. If electronic and paper versions of a transitory record exist, then both should be destroyed when the task or activity to which they related is completed.

All employees are responsible for destroying all transitory records immediately after the activity or task to which they relate is completed. This includes transitory emails. Most transitory records should not be held more than two years.

Executive Ministers/Officers and the Records Coordinator are responsible for providing assistance to employees in the identification and retention of transitory records.

Examples of Transitory Records

Transitory records may include, but are not limited to:

- Temporary working papers such as rough notes or drafts which do not have any value in the documentation of the evolution of the organization's policies or decisions.
- Duplicate copies of materials retained solely for convenient reference i.e. multiple copies of reports, memos or electronic spreadsheets.
- Multiple copies of broadly distributed material used to communicate policies and practices for internal administration i.e. manuals, directives, bulletins and guidelines.
- Multiple copies of project or committee materials i.e. minutes, agendas and reports sent to various committee members and staff.
- Temporary working papers such as rough notes or informal drafts that do not document significant stages in the development of policy, programs or in the evolution of the final document. These drafts were not reviewed by other persons, and do not contain important research or background data.

The reference or convenience copies should be destroyed or deleted as soon as the tasks or activities for which they serve as a reference or resource are completed. Working papers should be destroyed or deleted when the final document is completed and has been declared into the RM system as a record.

Non-Records

"Non-records" are documents created or received that <u>do not serve</u> to document the functions, policies, decisions, procedures, operations, or other activities of The United Church of Canada.

Non-records are not incorporated into the Record Retention Schedule as they do not fall within the scope of Official Records. Non-records are not required to be retained.

How to deal with non-records

Non-records should not be saved into records repositories.

Non-records should either be disposed of in the garbage or recycle bin immediately if they are of no use or if they are Personal files kept at The United Church of Canada offices they must be maintained apart from United Church of Canada official records.

All United Church of Canada employees are responsible for destroying all non-records immediately if they have no bearing on The United Church of Canada activities or functions.

Examples of Non-Records

Non-records may include, but are not limited to:

- Junk mail/spam.
- Personal correspondence.
- Annual Reports from outside agencies.
- Magazines or magazine articles, Trade Journals.
- Newspapers.
- Blank Forms.
- Personal diaries or journals not prepared for carrying out The United Church of Canada operations.
- Privately purchased books and publications that do not relate to The United Church of Canada operations.
- Records related to private, personal matters kept at the office for convenience.
- Presentations or Papers of a professional nature not representing The United Church of Canada opinion or policy.
- Unsolicited advertising materials such as brochures, flyers, posters, menus, price lists, invitations, sales letters. Catalogues, such as those for office supplies, equipment or literature should be destroyed when they are superseded.
- Miscellaneous notices or memos such as all staff emails, messages on upcoming special or social events i.e. pizza lunches, memos on routine administration details not related to program functions such as "please book the board room for our meeting tomorrow" or "please retrieve file X: and personal messages such as "let's meet for lunch". These notices or memos should be destroyed as soon as the activity, task or event to which they relate is completed.

Keeping transitory or non- records longer than necessary results in the following records management problems:

- Offices and computer systems are unnecessarily cluttered
- Records management costs are increased
- Retrieval of non-transitory records is made more difficult
- Considerable amount of time is wasted searching for records

5. MANAGING ELECTRONIC RECORDS

Creating Electronic Records

When documents become "Records", they are saved as a final version, which means from that point forward they become "read only", and they are stored in a designated and approved shared repository or folder for that document type which will determine the life cycle of the record.

The repository should include folders or a classification scheme that resembles the Records Retention Scheduled Categories. Units will be free to subdivide folders or add additional classifications to facilitate work processes.

The designated and approved shared repository will be identified by the Records Coordinator and the IT Manager.

Structured Information

Records held in existing structured systems (e.g. Financial Systems) will continue to be held within the system. The system will also adhere to the retention requirements for specific document types according to the Records Management Policy and the Retention Schedule.

Version Control

Version control allows users to develop and manage successive drafts of their work in a controlled manner. It is a feature of document (not records) management. Versions should be identified by adding v00 where 00 represents a sequential number e.g. "02" to the file name, if the repository available does not include version control functions.

General Guidelines

In order to eliminate having multiple versions of a document circulating, employees who wish to circulate a version of a document, where possible, should send only an e-mail link to the version in the electronic document repository rather than the document.

Employees are encouraged to delete versions of documents that are non-records i.e. previous iterations that are not needed as evidence of arriving at final decision.

Employees are encouraged to add comments when reviewing or commenting on a version of a document rather than creating multiple versions. Comments are searchable and provide context for the version.

Naming Conventions

The following basic naming conventions should be utilized when creating a folder or file:

Dates

All dates appearing in file names should follow the format YYYYMMDD according to international standards.

Example:
√ 20121001
x 01/10/12

Acronyms

All acronyms used should be listed on a master and accessible list of acronyms to be maintained by the Records Coordinator and to be posted on an accessible United Church website. Any acronyms not maintained on a master list should be spelled out.

Example:
√ World Health Organization
x WHO

Repetition of Folder Name

A folder name should not be repeated in the file name.

Example:

Finance Committee 2012
√ Meeting Minutes 10
x Finance Committee Meeting Minutes 2012/10

Adjectives

Descriptive adjectives should follow the main function of the file, so that like objects are sorted together

Example:
√ Meeting Minutes Quarter 1
√ Meeting Minutes Quarter 2
x Quarter 1 Meeting Minutes

Symbols

Symbols should not be used in file names.

Example:

√ PO1234
x P.O.#1234

Changing Records

For a record to be authentic in archives and records management, it must be genuine or be "what it claims to be".

In order to trust that a record is authentic, the user must be assured that systems that create, capture, and manage electronic records maintain records that are protected from accidental or unauthorized alteration and from deletion while the record still has value.

For the reason above, it is fundamental that once a document has been declared to be a record, its content cannot normally be changed. The record is 'locked' against change. Employees should not change these locked records. If it is necessary to change the record itself, this process can only be carried out by the Records Coordinator and in exceptional circumstances only i.e. end user declared a records in the incorrect file or to meet new legal requirements under data protection legislation. A new version of the record can be created to reflect the changes following the directions below.

If you want to create a new record while retaining the old record, the procedure is as follows:

- Take a copy of the record – this will now have the status of a document.
- Make the changes as necessary.
- Declare the approved document to be a new record.
- The old record will continue to exist and will probably be found by any search that would find the new one.

Disposal of Records

Records shall be disposed of in accordance with the United Church of Canada's Records Retention Guidelines. The United Church of Canada employees must comply with the recordkeeping requirements specified under the Records Retention Schedule. Destruction of records must be carried out under controlled, confidential conditions by shredding or permanent disposition. Documentation of the destruction of records should be maintained permanently.

Units shall prepare a Records Destruction and Authorization form as per **Appendix 5** and based on United Church guidelines and must submit it to their Executive Minister/Officer. No records may be destroyed without an approved form. Once the Records Destruction and Authorization forms are approved, destruction must be carried out in a timely manner. Copies of all approved forms should be sent to the Records Coordinator.

The only method for deleting electronic records is as part of the formal Records Retention Schedule disposition process. United Church employees cannot delete electronic records once

an Electronic Records Management System is put in place, as the system will follow a process to notify users when retention dates are met, allow for authorization of deletion, automate deletion and create an audit trail which documents this electronic process.

Redacting Records

Redaction is the process of removing sensitive information from a record, thereby producing another record. Redaction should always be reversible – that is, the original record itself must never be changed – the redaction is always carried out on a copy.

When redacting, the following procedures must be follows:

- Copy the original, and apply changes only to the copy.
- A record of the redacted copy must be made and retained.
- The original record must be retained as a record.
- Those two records must be linked (because electronic records are perceived as easy to change, many authorities are quite clear, however, that redaction on electronic-born records "raises issues & risks").

The fact that a record is a 'redaction' of another should be recorded in its metadata and in the metadata of the original record. The redaction must be done safely; that is it must never be possible to find the redacted information.

Legal and Tax Holds

This Policy and the related Record Retention Schedules may be suspended in whole or part at any time if circumstances arise – such as litigation, government investigations, or audits – which legally require the retention of Records that might otherwise properly be subject to disposal.

In the event that suspension of the Records Retention Policy or all or part of the Record Retention Schedules is required, the Legal Unit will immediately notify relevant employees concerning the nature and scope of the suspension through a LEGAL HOLD NOTICE. Once a suspension of the Policy has been initiated, any affected records management practices shall not be reinstated without express authorization from the Legal Unit. Only the General Counsel may lift a LEGAL HOLD once it has been put in place. Only the CFO may lift a TAX HOLD once it has been put in place. Generally, records that are subject to a hold will be segregated from other records and access to those records may be restricted or controlled as determined by the Legal Unit.

Any employee that becomes aware of actual or potential litigation, regulatory proceedings or investigation, audits or other circumstances that could warrant suspension of this Policy should immediately contact the Legal Unit.

Creating Records Offsite

United Church employees are prohibited from saving Church-related documents outside of the United Church network system.

In the event that working off-line and outside the system is warranted, employees should ensure that the information held on any IT-issued and authorized portable temporary device (USB key/laptop) and saved into the network system as soon as practicable once they return to the office. Once transferred, the information held in the network system is considered the official document which, when finalized, should be captured into the Records Management "as read only" and declared the official record. The information on the portable device is then deemed to be a 'convenience' or 'courtesy' copy and should be deleted.

It is fundamental to a robust Records Management Program, that United Church information should be declared as Records in the Records Repository as soon as they are finalized to ensure that the records are controlled and secured against change and to allow for retention decisions to be applied in accordance with the Records Retention Schedule.

Telecommuters and employees who are working offsite (or on portable devices), must insure that records held offsite or on portable devices are transitory. The documents that are records must be transferred to a secure United Church records repository on a regular basis and deleted immediately from any personal offsite devices.

Vital Records

Vital Records are Records that are essential for preserving, continuing or reconstructing the operations of the organization and protecting the rights of the organization, its employees, and its stakeholders. Records identified as Vital Records are identified in the Records Retention Schedule and are usually tagged for priority recovery from backup and potential replication in order to protect the organization in the event of any physical disruption to the business environment.

Security

All Records are categorized as to their broad security and access requirements. This includes the identification of records as follows:

- Public – generally available to the public in paper or electronic form
- Internal – generally available to employees and officers of the United Church of Canada
- Confidential – information containing personal information
- Secure – information of a strategic or legally privileged nature where access is limited to only those identified individuals.

6.   RECORDS RETENTION SCHEDULE

What is Records Retention?

Records retention refers to the length of time records are kept until they are disposed of through either destruction (shredding), deletion (delete or wiping of electronic data and related metadata and indexes) or transfer to permanent off-site storage.

The Records Retention Schedule helps control the growth of records by providing an approved timeline for the disposal of records at appropriate periods. It also helps minimize the risks and liabilities that can be associated with document retention.

Overview of the United Church of Canada Records Retention Schedule

The Records Retention Schedule is the key tool for The United Church units to manage their records effectively. It establishes standardized retention rules for records and controls how these records are to be disposed of once they reach the end of their active life. It determines when the active life of a record ends and when it may be transferred to an inactive storage area and establishes the time and method of disposing of the record. The Records Retention Schedule also identifies the Unit responsible for maintaining the Official Record.

The Records Retention Schedule is a separate document. It is attached at Attachment I.

All United Church records must be retained according to the retention periods set out in the Records Retention Schedule. Destroying records outside the approved Records Retention Schedule can lead to serious legal consequences.

The Records Retention Schedule is broken down into nine sections based on the functional operations of The United Church.

They include:

CO   Communications, Publications and Media
FI   Finance
GO   Governance
HU   Human Resources
IN   Information Management and Technology
LE   Legal
OP   Operations
PR   Programming and Education
SO   Social Issues and Partnerships

Primary Categories

Each section represents key functions of The United Church of Canada. Within each Section, major record series known as Primaries are found. The Primaries represent the key processes and activities within which all records can be classified regardless of their physical format.

Secondary Categories

The secondary is the second level of the Records Retention Schedule. The secondary refers to more specific subjects or functions.

Each Secondary includes synonyms explaining in detail the types of records to be grouped therein. Each Secondary also includes a notation indicating the Responsible Office. The **Responsible Office** is the office or business unit whose mandate it is to create the record and preserve the record for its retention period. The unit is responsible for keeping the record for the timeframe outlined. All other units are considered to hold working copies of the records and should only retain the records for as on long as required to meet ongoing business needs.

Tertiary Categories

The tertiary level is the actual file folder within which individual records are stored. The folder names at this level can be set or changed by the Unit. An example of typical tertiary categories has been provided for Finance, HR and Legal.

Making Changes to the Classification and Records Retention Schedule

Most likely, changes to some level of the Records Retention Schedule will need to occur regularly. In order to maintain systematic control over the United Church of Canada's records and to ensure that accessibility and usability of records is not compromised, it is necessary to place restrictions on who is able to amend the Schedule.

Adding a new Primary or Secondary to the Schedule

If a new Primary category or Secondary category is required to be added, the Administrative Assistant must complete a **Records Retention Amendment Form** (see **Appendix 2**) to be approved by their Executive Minister/Officer and provided to the Records Coordinator. The Records Coordinator will then create the new Primary or Secondary category and advise that that the category has been included in the Schedule.

Adding a new Tertiary (file Folder) to the Schedule

When a new tertiary is required, end users can create these as required in accordance with the naming conventions.

7.   E MAIL RECORDS

What is an "email" Record?

An e-mail message consists of any document created, transmitted, or received on an e-mail system, including message text and any attachments, such as word-processed documents, spread-sheets, and graphics that may be transmitted with a message, or with an envelope containing no message.

When are e-mail documents records?

E-mail documents are records when they are created or received in the transaction of the United Church of Canada business and are otherwise records in accordance with the Records Management Policy and this Manual.

How do I deal with e-mail records?

Each United Church of Canada employee is responsible for properly managing the creation, retention, and disposition of records that you send or receive on e-mail.

Employees must as soon as possible after they receive or send a message, and any attachments, determine whether it is a record or a non-record.

If it is a record, you should save the email record into a designated folder or record repository and by making it 'read only'. As the official record has now been captured into a controlled folder, you should delete the e-mail version of the record unless you need it for reference purpose to support ongoing business.

Deletion of E Mail and Voice Messages [Proposed New Policy]

Except as set out above, all other e-mail and voicemail records are to be permanently removed and retired from the United Church of Canada's computer equipment ninety (90) days after they are generated or received. This Policy applies to all email that is generated and sent by United Church of Canada employees or received by United Church of Canada employees, regardless of whether they are located on servers or back-up systems, desktop computers, laptop computers, handheld devices, pagers, external messaging services or other units, or printed in paper form.

When are email documents non-records?

A 'non-record' email is an email which does not constitute an Official Record. E-mail documents are non-records when they provide no evidence of The United Church of Canada functions and activities or if it constitutes duplicate information already documented in existing records

Examples of non-record emails

- Messages that have only temporary value or information in a form used for casual communication i.e. confirmation of a meeting date or place, advice re absent from office, a 'thank you' for doing something.
- Draft versions where any additional information has been incorporated into subsequent versions, and where retention is not necessary as evidence of approval or the evolution of the document.
- An email which does not contain any material relevant to the operations of the United Church of Canada unsolicited advertisement from an outside agency.
- Any email on which the recipient was copied or bcc because the originator and or the direct recipients will be responsible for the retention of the original Record email.
- Although the attachment itself may constitute an official record, it is not considered part of a record email. The creator of the attachment is the person responsible for ensuring it is appropriately retained.
- Duplicate copies of records used for information or convenience only.
- Messages in content and use related to personal matters not relevant to The United Church of Canada operations
- Instruction memoranda or information bulletins where the recipient is not the action office
- Requests for documents or copies of documents
- Simple requests for information or clarification that does not impact policy or business decisions.

How do I deal with e-mail non-records?

You should delete email non-record messages or attachments that are not records promptly. If non-record copies are useful for reference or convenience, you should keep a copy for the duration of its use and then dispose of it when no longer required.

8.   PAPER RECORDS

Creation

Paper records are to be filed in folders, and folders are to be identified as part of a record series or group as identified by the Records Retention Schedule. For example, a record series may be:

- Accounts Payable (by Name, Year)
- Employee Files

Storage (Active)

Active records are those records or files held in the working office areas. Files should be grouped according to the categories in the Records Retention Schedule and may be subdivided by Year, Name, Location, Project Title to suit the business requirements. Active records are those records which are referenced on a regular basis, that is, more than 3-5 times per year.

Storage (In-Active)

Inactive storage could include documents that are held in a file room which is remote from the business unit work area, or in space managed by the Archives. Any records that are transferred to storage, should be coordinated by the Records Coordinator. Any records that are transferred to inactive or offsite storage must be identified with a date for the expiration of the retention period. After the retention period has expired records can become under the control of the Archives if designated in the Disposal section of the Records Retention Schedule. Records that become part of the Archives may be held in whole or may be subject to Archival Review and Selection through an access and appraisal process.

Files are to be boxed in standard file boxes as illustrated in **Appendix 3**, and labeled with the following information.

Disposal Date
Temporary Box Number

A list of box contents, i.e. file titles, should be attached to the top of the box or placed on top of the files (see form in **Appendix 4**). Three copies of the list should be prepared and distributed as follows:

Copy 1. Held in unit
Copy 2. In box
Copy 3. With transfer requisition

Disposals

All records that are due for disposition should be listed on a box contents (**Appendix 4**) form by the unit who is responsible for the records, signed and dated by the business unit manager, and copies sent to the Records Coordinator. These forms will be held as a notice of destruction and will be maintained by the

Records Coordinator.   The Records Coordinator will coordinate shredding and the confidential disposal of records as required or the transition of the records for Archival review.

Electronic records that are disposed within an automated electronic records management system will retain a "stub" which includes the author, title, date, record series, and an audit trail detailing the disposition and authorization for disposition.

Disposition of paper records includes shredding and/or placement in confidential destruction bins for disposal by an external service provider.

APPENDIX 1: RECORDS STEERING COMMITTEE

The Records Steering Committee shall include representation from the following areas:

1.   Finance / Audit
2.   Legal
3.   HR
4.   IT
5.   Records and Archives
6.   Representatives from Program areas

The Committee shall be chaired by the Records Coordinator.

APPENDIX 2
RECORDS RETENTION SCHEDULE CHANGE REQUEST FORM

Date	
Name	
Unit	
Suggested Record Series	
Suggested Record Retention Period	
Reason	
Citation	
Manager Approval	
Records Coordinator Approval	
Retention Schedule Updated Date	

APPENDIX 3
FILE BOX LABELS

Disposal Date: _____

Temporary Box No.:   _____

APPENDIX 4: Record Transfer Form

1

2 THE UNITED CHURCH OF CANADA

TRANSFER FORM

3

Executive Minister:	Legal Counsel:	General Council Archives:
Records transferred by:	Phone & Extension:	Date:
Records created by:		Inclusive dates:
Restrictions:		
Electronic Copy of Transfer List Attached: ☐ Y ☐ N Verified: ☐ Y ☐ N		Number of boxes to be transferred:

3.1 TRANSFER LIST

Transfer/ Accession No.	Box/File	File Title	Date

PROCEDURES FOR THE TRANSFER OF RECORDS TO THE ARCHIVES

1. Records which have fulfilled their retention requirements--specified in the Records Schedule--should be removed from active files; it works well if this is done annually. **For Retention requirements see the Records Retention Schedule**, which controls the life cycle of documents. The Schedule indicates how long a file is to be kept in the department and then, whether the records are to be destroyed, transferred to the Records Centre, or transferred to the Archives for permanent retention.

2. Archival records contain non-current information. There are many questions about minutes and correspondence.

*Please make sure that **one official copy of minutes**, for which your working unit is responsible, is sent to the Archives for permanent retention. Please include appendices and other attachments with minutes. Please **DO NOT** send duplicates or copies of minutes.

*Please note that the two-year destruction date for Correspondence is **only for routine correspondence of daily chronological files**.

3. Records being transferred to the Records Centre must be listed using the Transfer Form which is found in S:\UC Archives. Here are the procedures for filling out the Transfer List:
   3.1. Fill out only the "Box/File No.," "File Title," and "Date" columns; leave the Transfer/Accession number blank for the Archives staff to fill in.
   3.2. If an electronic format of the list is available, please email it to the Archives Technician.
   3.3. Have the Executive Minister of the working unit sign off the form. When transferring legal records, the Legal Counsel must sign off on the form as well.

4. Records are to be packed in bankers boxes in the same order as they were in the filing cabinet.

5. Files containing **sensitive and/or personal information** must be indicated as **RESTRICTED** in the listing. The symbol **"RR"** should be placed beside the file number in the Transfer List to denote as such. See below for example:

Box/File#	File Title	Date
1-1	Overseas personnel requests	1990-1994
1-2 **RR**	Jane Doe (Overseas personnel)	1994-1996
1-3 **RR**	John Doe (Overseas personnel)	1991-1993

6. All records to be transferred to the Archives must be accompanied with this form**.** Please remember to number all boxes in the order in which they were packaged.

7. Once the Transfer Form is completed and records have been properly boxed and labeled, the records may be transferred to the Archives.

8. The Archives Technician acknowledges receipt of the records by signing the form.   At this time a unique transfer number (for records going to the Records Centre) or accession number (for records going to the Archives) will be assigned to the records.

9. The transfer/accession number assigned by the Archives Technician, United Church of Canada Archives will include the year and number of the transfer, e.g. 2011-003 would indicate that this transfer is the third one in the year 2011.

APPENDIX 5: RECORD DISPOSITION FORM

Control Number:

4   <u>THE UNITED CHURCH OF CANADA</u>

RECORDS DESTRUCTION FORM

Executive Minister:	Legal Counsel:	General Council Archives:
Working Unit Contact Person:	Phone & Extension:	Date:
General Council Archivist:	Date:	Inclusive dates of records:
Records destroyed by:	Date destroyed:	Method of destruction:
Electronic Copy of Destruction List Attached: ☐ Y ☐ N *Verified*: ☐ Y ☐ N		Number of boxes to be destroyed:

4.1 DESTRUCTION LIST

Box No.	File Category	4.1.1 FILE # (if used)	4.2 File Title / Contents Description	Destruction Date	Location code

PROCEDURES FOR THE DESTRUCTION OF RECORDS

3. Records which have fulfilled their retention requirements--specified in the Records Schedule--should be removed from active files; it works well if this is done annually. **For Retention requirements see the Records Retention Schedule**, which controls the life cycle of documents. The Schedule indicates how long a file is to be kept in the department and then, whether the records are to be destroyed, transferred to the Records Centre, or transferred to the Archives for permanent retention.

2. Records for destruction must be listed using the Destruction Form which is found in S:\UC Archives.
3.4. Fill out only the "Temporary Box No.", "File category", and "File Title/Contents Description" columns.
3.5. Ensure that the date range of the file contents is included in the File Title/Contents Description.
3.6. If an electronic format of the list is available, please include it along with the Destruction Form.

Have the Executive Minister of the working unit and the Legal Counsel sign off the form.

3. Records are to be packed in bankers boxes in the same order as they were in the filing cabinet.

4. Files containing **sensitive and/or personal information** must be indicated as **RESTRICTED** in the listing. The symbol **"RR"** should be placed beside the file number in the Destruction List to denote as such. See below for example:

File Category	**File#**	**File Title/Contents**	
Communications/ Internal Communications	3 RR	Human Resources Committee Minutes	1994-1996

5. **All records** to be transferred to the Records Centre for destruction **must be accompanied with this form.** Please remember to number all boxes in the order in which they were packaged.

6. Once the **Destruction Form is fully completed**, please turn it over to the **Archives Assistant, Office Services** who acknowledges receipt by signing the form.   At this time a unique control number will be assigned to the records. **No** records will be sent for destruction **without the signature** of the Archives Assistant and a **control number**.

7. The **control number** assigned by the Archives Assistant, Office Services will include the **year and a number**, e.g. 2006-003 would indicate that this batch of records is the third one in the year of 2006.

8. Once the Destruction Form has been completed and records have been properly boxed and labeled the records may then be transferred by the **Maintenance Technician** to the Records Centre.

Active Records
Records in frequent use, regardless of their date of creation, required for current business relating to the administration or function of The United Church of Canada. Such records are usually maintained in office space and adjacent equipment.

CY +
Current year plus (# of years thereafter).

Capture (of records)
The process of determining that a record should be made and kept. This includes both records created and received by the organization. It involves deciding which documents are captured, which in turn implies decisions about who may have access to those documents and generally how long they are to be retained.

Classification
The process of identifying the category or function and the records they generate and grouping them, if applicable, into files to facilitate description, control, links and determination of disposition and access status.

E =
E is the trigger event which determines the starting date for calculating retention (i.e. close of file/staff member resigned)

Inactive
This is the period of time that the records are required to be kept in a designated storage facility.

Non-records
Non-records include documents that do not impact The United Church of Canada operations or decision-making process. These records are not included within the scope of official records and are not required to be retained and do not appear on records retention schedules.

Official record
An official record is the original or official copy that provides information or evidence of the organizations transactions, decisions, procedures or policies. A significant, vital, or important record of continuing value to be protected, managed and retained according to the United Church of Canada retention and disposition guidelines and schedule. In law, an official record has the legally recognized and judicially enforceable quality of establishing some fact.

SO = Obsolete or Superseded
A record or document that has been substantially updated or revised (e.g. policy document) or which is no longer used.

P = Permanent Retention

Those records that must be retained permanently by a unit for legal, historical or administrative purposes. Permanent records are retained for the life of the unit to which it relates.

Records

"Records" are documents, data or other recorded information, in all media and forms, created, received, and maintained as evidence and information by an organization, of its legal obligations or transacted business

Records Management

Records management is the 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.

Records Management Program

A records management program is the program conducted on an organization-wide basis for the management of records, recordkeeping activities and recordkeeping systems.

Records Retention Schedule

A list of record categories to determine what records groupings you have, how long you need to keep them to meet operational and regulatory requirements, who (which unit) needs to keep them.

Reference copy

A duplicate of the official record and is maintained for ease of reference and as such is designated a 'non-record'. They should be destroyed when a matter is closed.

Responsible Unit

The unit that is responsible for maintaining an original record or an official copy of a particular record in United Church of Canada. The responsible Unit is defined in the retention schedule; all other "copies" are considered non-record or transitory material and may be destroyed once they are no longer required.

Structured Information

Information which has a defined format and is used with a data base or automated processing system, includes relational data bases, ACCESS databases, and other data with extensive formatting and metadata (index data).

Total Retention

The period of time required by statute or recommended according to standard business practices, for which the record is required to be kept.

Transitory Record

Any data or information required for only a limited time to ensure the completion of a routine action or the preparation of a subsequent record. These records are not usually included within the scope of official records and are not required to be retained and do not appear on records retention schedules.

Unstructured Information
Content that has been created and saved as a separate document, outside of a specific functional processing system, and which stands on its own, as a readable, actionable piece of information (e.g. a spreadsheet, a word processing document or an email document).