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Records Management Programs require guiding policies and procedures beyond the Records Retention Schedule.
The following information is provided as resources:

- Records Management Administrative Procedure
- Request for Records Destruction
- Certificate of Destruction for Schools
- Naming Conventions for Electronic Documents
- Document Naming Conventions (GOA)
- Quick Reference Guide – Naming Conventions for Folders and Documents

Administrative Procedures Manual	Administrative Procedure 185
	Records Management
	APPROVED: September 1, 2013
Page 1 of 3	AMENDED/REVIEWED:
LEGAL REFERENCE:	Section 23, 60, 61, 75, 113 School Act Freedom of Information and Protection of Privacy Act FOIP Regulation 200/95 Student Record Regulation 225/2006 Information Bulletin 3.2.5 – Access to Information Information Bulletin 3.2.7 – Student Record Regulation Information

Background

The organization, handling, storage, scheduling and disposal of records must be performed in a standard and consistent manner. It is essential that the proper retention periods be maintained to meet all legal, financial, and historical requirements.

Definitions

Record means information in any recorded form. This includes: documents, letters, hand-written notes, papers, draft documents, e-mail, voice mail, computer data files, books, vouchers, maps, drawings, photographs, student records and calendars in the custody or control of the District.

Student records are specifically subject to the Student Record Regulation under the School Act and Regulations and are also addressed in Administrative Procedure 320 - Student Records.

Personal Information means any information about an identifiable individual, including:

- Name, home address or telephone number;

- Race, national or ethnic origin, colour, religion, political beliefs or associations;

- Age, sex, marital status, family status;

- Identifying numbers;

- Fingerprints or blood type;

- Health and health care history;

- Educational, financial, employment, criminal records.

Transitory Records are records that are not required to meet statutory obligations or to sustain administrative or operational functions. These records are still to be handled as "Confidential Information".

Transitory Records are records in any media that:

- Have only temporary usefulness;

- Are not part of an administrative or operational records series;

- Are not regularly filed in a records information system; and

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- Are required only for a limited period of time for the completion of a routine action or the preparation of a record.

Procedures

1. Records required for statutory, legal, fiscal, administrative or operational purposes must be retained in a regular records or information system and disposed of separately in accordance with an established retention schedule.

2. Storage of Records

    2.1 An archival list must be prepared of records prior to transfer to a records storage area.

    2.2 Prior to transfer, departments are responsible to provide said archival list to the Secretary-Treasurer or designate.

    2.3 The Secretary-Treasurer or designate is responsible for maintaining and updating record inventories.

3. Retrieval of Records from Storage

    3.1 Access to records stored in archival storage areas is restricted to designated employees.

    3.2 Records can be obtained from the storage area upon request from the Secretary-Treasurer or designate.

    3.3 Records must be returned to the same files, boxes or containers. If records are removed and/or re-boxed the Secretary-Treasurer or designate must be notified.

4. Disposal of Records

    4.1 Disposal of records can only take place according to the parameters set in the retention schedule.

    4.2 All destruction of records is subject to written approval of the Secretary-Treasurer or designate Destruction Notice Form (Form 185-1).

    4.3 Disposal of records must be conducted in a manner that ensures no information from the records might inadvertently be released.

    4.4 Non Record/Transitory Records are considered confidential waste. The same security arrangements are to be taken for their disposal.

5. Schedules

   5.1 All records created and maintained by the District must have a retention period applied.

   5.2 A Schedule of Records Retention and Disposal (Appendix) shall be prepared by the Secretary-Treasurer and updated when necessary to allow for the disposal of records in a consistent manner (AP 185).

REQUEST FOR RECORDS DESTRUCTION

Please list the area/service unit/school name responsible for the records referenced on the attached _____Transmittal Sheets.

Area/Department	Service Unit/School	Division (if applicable)

Record Contact Name: | **Position Title:**

Telephone: | **Address:**

Records contained on the attached Records Transmittal Forms have completed their lifecycle requirements in accordance with the Corporate Records Management Program and are now eligible for destruction. Please review the attached transmittal forms and the accompanying records classification codes. Once approval is received, the records listed on the transmittal forms will be destroyed in accordance with the Shred Program. Some records may be eligible for inclusion in the Archives.

Records will be:

☐ Destroyed on site ☐ Sent to Records for Destruction ☐ # of Records   Boxes   Gigs   Other (circle)

Records Reviewed by: | **Position Title:**

Signature: | **Date:**

Manager/Principal Authorization

The records listed on the attached transmittal forms are eligible for destruction in accordance with the Corporate Records Management Program. Provide name, signature and position title of Record Steward. A Record Steward is ultimately responsible for the records created from the functions that are under their responsibility. **A Records Steward is typically at a Manager's/Principal's level or above.**

Records Steward Name: | **Position Title:**

Signature: | **Date:**

Please send to Records Centre for Authorization

Destruction Authorization: I hereby certify that I am authorized to act for the Board of Education in the matters pertaining to the disposition of the records listed above and that the records proposed for disposal are eligible for destruction.

Comments: ....

Name: | **Position Title:**

Signature: | **Date:**

Certificate of Destruction   ☐ Destroyed on site   ☐ Sent to Records for Destruction

Records referenced on the attached _____Transmittal Sheets have been destroyed. Any ineligible records have been removed from this request.

Name: | **Position Title:**

Signature: | **Date:**

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Certificate of Destruction for Schools

This form is for the destruction of public records in accordance with *Policy DA* & *Records Retention Schedule for Schools.*

School/Site:			Inventoried by:			
Record Series #	Record Series Title	General Description	Open Date YYYY/MM	Close Date YYYY/MM	Retention	Notes - Central Office only

Click here to see **How to Complete Certificate of Record Destruction Form**

DESTRUCTION APPROVALS: We certify that the records listed above have been retained for the scheduled retention period, required audits have been completed and no pending or ongoing litigation or investigation involving these records is known to exist.

	Print name	Signature	Date
Administrator/Department Head			
1. Send the form to Receptionist - Central Office.			
Corporate Officer (Print Name)			
2. Form will be sent back to the school for completion – then the records can be destroyed. See here for disposal options.			
Records Destroyed By:			
3. After records have been destroyed, return the original completed form to Receptionist Central Office for permanent retention.			

Naming Conventions for Electronic Documents

CONTENTS

1.   INTRODUCTION

We have identified the need for consistent naming practices for electronic content items specifically documents in directories. Establishing naming conventions that are used consistently across an organization or an organizational unit will improve access to information in documents stored in an electronic work environment and in electronic information management applications. Although there are many methods to electronically search for documents, users still tend to browse through directory structures looking for the documents they require.

Implementing good document names can support the following objectives:

- Facilitate better access to and retrieval of electronic documents.
- Allow sorting of documents in logical sequence (e.g. version #, date).
- Help users to identify the items they are looking for easily and support the ability to recognize the content of a document from a list.
- Help keep track of versions of documents.

The naming practices included in this guide apply to electronic documents created in a desktop environment and stored in shared or common directory structures. They are meant to assist departments and school sites to develop coherent and consistent approaches for naming their electronic documents.

2.   ELECTRONIC WORKSPACES

Directory and Folder (Collection) Structure

Directory and folder (collection) names by their nature will contain information that defines the document content. For example, a folder marked Accounts Payable means that the documents contained in the folder need not contain the words accounts or accounting. Simply the name of the account or vendor may be sufficient.

Accordingly, when there are multiple levels of folders (collections), the names of each of these folders (collections) need to be taken into account when deciding which file naming elements are required and whether or not to establish abbreviations for naming elements.

Several points to remember:

Location. Relying on the folder (collection) structure is only useful as long as the document continues to reside in the same folder. Should a document need to he moved or reclassified it may need to be renamed.

Name Length. In standard desktop applications, the entire path and file name are treated as the name of an item.

Web Documents. If a document is to be posted on a web site, the version for posting may need a different name than the draft or other versions.

3.   ELEMENTS OF DOCUMENT NAMES

Document names should contain enough information to properly describe the contents of the document. However, keeping titles short will help users to quickly identify and retrieve accurate information. The following suggestions aim to strike a balance between creating usable, meaningful titles and brevity.

When determining the elements to be used and the order of the elements, it is critical to determine how the users will be retrieving the documents and design the naming convention appropriately. It may also be necessary to differentiate the structure and order of name elements from one directory to the other. The naming structure of documents in different folders (collections) needs to be based on user retrieval requirements.

For example, a "Meetings" file, may need to have the date of the meeting as the first element, thus ensuring all material related to one meeting date are sorted together. For example:

Student Services\ Staff Meetings-SS\ **2005-01-04 Agenda-SS**
Student Services\ Staff Meetings-SS\ **2005-01-04 Agenda Background.-SS**
Student Services\ Staff Meetings-SS\ **2005-01-04 Agenda Minutes & Decisions-SS**
Student Services\ Staff Meetings-SS\ **2005-02-04 Agenda Agenda-SS**
Student Services\ Staff Meetings-SS\ **2005-02-04 Agenda Minutes & Decisions-SS**

Collection   Collection within collection   File name

Versions are treated by using the Version update functionality in Docushare. The current version is displayed, with access to previous versions in the "History" area of the "Properties" for the document.

File Name Elements	Example	Description
Date	2006-01-01	
Title	Enrolment Calculation Sheet	These elements are usually needed to facilitate searching for the document and the display of like documents in a logical order
School	BES	Helps to identify a school's document

4.   USING NAMING CONVENTION ELEMENTS

Table 1
Use of Naming Convention Elements

Element	Text	Explanation
Date	2005-02-28	This is a significant date relevant to the document (e.g. version or published date). It is not the system-generated date that the software automatically updates each time a document is saved. Use the metric (international) date standard **YYYY MM DD** to facilitate the sorting and display of files in a logical order (see Alberta Data Standard). Use of the date should he defined by business needs, e.g. what is the most useful date for retrieval purposes. It may well be simply the year, e.g. for recurring repeats.
Title	Free Form	Think of the user/recipient and how they might search for and retrieve the document. Use a title that clearly describes the content of the document. The name should he intuitive to those who need to access it but not excessively long. Use standard abbreviations that have been agreed on by the organization and/or business unit. When creating multiple versions, use the same title for all versions. Consider if the sorting order is significant e.g. title first? date first?
Type		Document type can help reduce the length of the title. Where this information is captured as a metadata element, it is not likely to be needed in the document name. Do not include document type if its location (folder) identifies the type. The following type codes are examples. It is best to keep this list to ten or less.
	AGD	Agenda
	CON	Contract
	DFT	Draft
	FRM	Form
	LTR	Letter
	MIN	Minutes
	MTG	Meeting
	PLN	Plan
	RPT	Report
	SUM	Summary

Abbreviations

Consistently used abbreviations can keep the name length manageable. If however, abbreviations are not standardized, they can be very difficult to interpret after the passage of time.

APPENDIX 1:
EXAMPLES

Example #1:

Using the full naming convention, this document would be named as follows:

DATE – Title – School/Dept

E.G.   2005-08-31 Document Naming Conventions – Procedure-CS

The extension can be eliminated by editing the name and deleting the extension (such as.doc, .pdf).

Example #2:

In the following example, the full convention is used, except that the document type (AGD for agenda) is included in the title and is therefore not a separate item in the document name.

2005-O2-03- Staff Meeting AGD-CS

Date – Title - School/Dept

Example #3:

In some cases, the folder structure can carry some of the burden of the document name. For example, a business area has a project folder to which only certain people have access privileges. Inside that folder there is another folder for meetings and inside that is a folder for minutes. All drafts and accepted versions of minutes of each meeting are kept here. The folder structure would be "Project Name\Meetings\Minutes."

In this case, the naming convention may consist of:
- Date - Meeting
- 2005-02-15 - Staff Meeting -CS
- 2005-03-15 - Staff Meeting -CS

In this case, the folder structure (e.g. Project Name\Meetings\Minutes) carries a significant amount of information. The title of the document is the meeting date. However, should the document be moved to another folder, the context would be lost.

Document Naming Conventions

What Are They?

Naming conventions are standard rules applied to electronic documents and folders. Naming documents consistently, logically, and in a predictable way distinguishes them from one another at a glance and facilitates their storage and retrieval.

Formats

- **Dates:** Dates are often not required since they are captured by metadata. When a date is necessary (e.g. meeting minutes and agendas) use a hyphen to separate the year, month, and day, e.g. YYYY-MM-DD.

- **Names:** Write the name of a person, if required, using surname, followed by initials, e.g. SmithB_Consultation.

- **Numbers:** Use two digit numbers when using a number in a document title to keep the documents in numerical order, e.g. 01, 02, 03.

- **Versions:** Some documents go through a number of stages. Where applicable, it is important to differentiate between these, e.g. 2016_ECM_Minutes_draft, 2016_ECM_Minutes_final.

- **Metadata:** Use metadata in document properties instead of the document name, e.g. creator, date created, date modified, title.

Best Practices

- Avoid the use of symbols, e.g. ~ " # % & * : < > ? / \ { | }. Hyphens and underscores are permitted.

- Use hyphens or underscores to separate words (not spaces), e.g. Naming-standards.html. When converting or migrating files, spaces in filenames create extra characters. Avoiding spaces will help keep filenames shorter.

- Avoid repetition and redundant words in folder and file names.

- Avoid using acronyms or abbreviations.

- Do not use words that are excluded from searches, e.g. the, if, but, so, for, etc.

- Keep document names short, but meaningful.

- Ensure the document name accurately describes the content of the document.

Benefits

- Creates uniformity in naming electronic documents.

- Enables accurate retrieval.

- Decreases the amount of time spent finding information.

- Eliminates storing duplicate items, especially duplicate items with different names.

- Ensures files are easily distinguished from one another.

Supporting Documentation

- [Government of Alberta Data Exchange Standard - Date, Time, and Date and Time](#)

- [Government of Alberta Metadata - Core Content Standard](#)

Naming Conventions for Folders and Documents

A Quick Reference Guide

Why use document and folder naming conventions?

- ✓ Facilitate the effective storage and retrieval of information
- ✓ Eliminate the need to "re-think" the naming process each time
- ✓ Enable more effective, efficient browsing or searching for information
- ✓ Understand a document's subject or content without having to open it
- ✓ Distinguish similar documents from one another at a glance

Naming tips

- Name documents and folders sensibly, using standard forms and terms.
- Titles should be concise but informative.
- Information need not be repeated from folder levels above.
- Ensure there is enough information, however, to identify the original context if a document becomes detached from its folder.

General naming conventions

1. Title Case

Use title case to make document and folder titles easier to read.

Meeting Minutes 2007-05-03.doc

2. Date Format

The international Standard for date is **YYYY-MM-DD**. This will ensure documents and folders will sort in date order in an electronic system; otherwise April will appear before January.

Meeting Minutes 2007-05-03.doc   **2007-05-03 Meeting Minutes.doc**

3. Versions

Version numbers ensure a clear audit trail exists for tracking the development of a document and identifying earlier versions when needed. Use a two-digit version number or **Draft**, **Final**, **Approved**, etc. to facilitate sorting and display of documents in a logical order.

Safety Meeting Minutes 2004-08-13 Draft.doc

2004-08-13 Safety Report V03.doc

4. Spaces and Special Characters

Do not use the following special characters in document or folder titles:

: ? / > < , " ` : ; [ ] { } | \ ( ) * ^ % $ # @ ! ~ ` + =

Instead:

- Use spaces between words in titles
- Use a dash (-) to separate parts of a title if necessary for readability
- Only use a period (**.**) before the file extension

5. Acronyms and Abbreviations

Keep the use of acronyms and abbreviations in titles to a minimum.