InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

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Overview

Vancouver School of Theology (VST) is an independent graduate school of theology whose roots reach back to late nineteenth-century Vancouver. Founded in 1971 through the amalgamation of the Anglican Theological College and Union College (United Church of Canada), both of which had occupied VST's current location since 1927, VST offers academic and research degrees, and training for ministry in the Anglican Church of Canada, the United Church of Canada and the Presbyterian Church in Canada.

The case study examined VST's administrative records with emphasis on its digital documents. VST's recordkeeping systems have developed *ad hoc* and at the beginning of the case study, the system kept student records, personnel records, and other important and vital administrative records in a variety of formats with no classification scheme or retention schedules. VST was interested in establishing policy and procedures that would guide the creation of reliable digital records, their authentic maintenance and long-term preservation. Without the capacity to produce, manage and keep trustworthy digital records, VST would be forced to continue with an imperfect paper-based system, and risk losing critical records.

The main objectives of the case study were to devise policy for the creation, maintenance, and preservation of administrative records, and develop an institution-wide system of managing digital files to reduce duplication and protect version integrity.

Test Bed Partners and Graduate Research Assistants

Gillian MacLeod, Library Director, VST 2009-2010
Corinne Rogers, Records Manager, VST 2010-2011

Derek Sorensen, Systems Administrator, 2010-2011

Corinne Rogers, GRA 2009-2010
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Anneleen van Djik, GRA 2009-2010

Statement of Methodology

Case Study 13 followed the action research design and case study methodology of InterPARES 3. Using a combination of semi-structured interviews and document analysis, the GRAs collaborated with the test bed partners in an iterative process of data collection. Data was then presented to the Team Canada researchers for evaluation, discussion and recommendations at the bi-annual research plenaries in Vancouver.

The GRAs conducted interviews with the test bed partners and key records creators using the interview templates designed for InterPARES 3 (Case Study Contextual Analysis Template (v1.0), Records Research Questions Report Template (v1.0), Recordkeeping Systems Research Questions Report Template (v1.0) and Policy Research Questions Report Template (v1.0).) The resulting documents included the Contextual Analysis and narrative transcripts of the research questions. These were refined through an iterative process by the GRAs and the test bed partner.

Description of Context

Name

The official name of the test-bed is Vancouver School of Theology (VST).

Location

VST is located on the northeast corner of the University of British Columbia campus at 6000 Iona Drive, Vancouver, British Columbia, Canada.

Origins

VST was formed in 1971 by the union of its two predecessor schools, the Anglican Theological College, and Union College (United Church of Canada). Each of these schools was formed by the amalgamation of several earlier schools, the earliest of which was founded in New Westminster in 1881. VST entered into a three-way agreement in 1979 (renewed and updated in 1984 and 1996) with the Presbyterian Church in Canada and St. Andrew's Hall whereby St. Andrew's Hall exercised its degree granting charter solely with VST.

Legal Status

An independent graduate school of theology and a registered not-for-profit organization, VST was founded by an Act of the Legislature of British Columbia in 1971.

VST is governed by the Vancouver School of Theology Act, Bill Pr 402-1992. This Act was preceded by the Vancouver School of Theology Act, 1971, which was itself preceded by the Acts of incorporation of its predecessor schools. The Anglican Theological College was incorporated by the Anglican Theological College of British Columbia Act, 1915 (chapter 68 of the Statutes of British Columbia, 1915); Union College was incorporated by the Union College of British Columbia Act (chapter 86 of the Statutes of British Columbia, 1927)

Norms

VST is bound by normative requirements of several accrediting and professional bodies and associations. It is accredited by the Association of Theological Schools of North America (ATS) and is governed by the ATS standards.[1] All financial procedures adhere to standard accounting principles as prescribed by the Canadian Institute of Chartered Accountants (CICA). The School's library, the H.R. MacMillan Theological Library, is a member of the American Theological Libraries Association (www.atla.com). As well, VST is governed by all relevant standards and codes of conduct adopted by the three supporting denominations from which it receives funding

VST's charitable status requires adherence to Canada Revenue Agency (CRA) regulations governing charities.

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[1] Available at http://www.ats.edu/Accrediting/Documents/08GeneralStandards.pdf.

Funding

Funding comes from the three supporting denominations (Anglican Church of Canada, United Church of Canada, Presbyterian Church in Canada), grants and donations, tuition fees, housing and conference revenue, and investment income.

Physical Resources

VST operates three buildings located on UBC land on a 999-year lease, established in 1927. The School recently completed an ambitious land development plan, subletting several land parcels to developers, building a new student residence and completely renovating and retrofitting its main building, the historic Iona Building.

The Iona Building is approx. 80,000 sq. ft. and includes offices, classrooms and meeting rooms, guest rooms, the H.R. MacMillan Theological Library, and the Archives (the Bob Stewart Archives of the United Church, B.C. Conference, the Anglican Archives, Diocese of New Westminster and Provincial Synod, and VST's archives.)

Somerville House is approx. 20,000 sq. ft. and contains 38 suites for student accommodation from studios to 4-bedroom quads. The Chapel of the Epiphany is 8100 sq. ft. and includes worship space (main floor) and meeting/auditorium space with kitchen/washroom facilities (lower level).

Governance

VST is governed by a Board of Governors whose sole employee is the Principal and Dean. The Board oversees the financial management of the School and owns the vision and mission. Management of the daily operations of VST takes place through the offices of the Principal and the senior administrators (Administrative Staff Group – ASG), who report directly to the Principal and Dean, and each of whom manages an administrative or academic department. Faculty Council, as mandated by the VST Act (1992), includes all regular full-time faculty and administrators, and decides the programmatic direction of the School and makes recommendations to the Board. Several committees advise FC, including the Degree Curriculum Committee.

Senior administrators at the start of this Case Study (January 2009) were the Principal and Dean, Director of Institutional Development and Communications, Director of Finance, Director of Native Ministries, Library Director, Director of Housing Operations, Dean of Students, and Associate Dean. At the time of writing this final report (November 2011), the senior administrators included the Principal and Dean, Dean of Studies (formerly Dean of Students), Director of Native Ministries, Director of Iona Pacific Inter-Religious Centre, Director of Operations, and Director of Finance. Because of several rounds of institutional restructuring due to financial exigency, the position of Director of Institutional Development and Communications, and the position of Associate Dean no longer exist.

Mandate

Quoted from the Act, VST's madate is:

Christian Education Centre

3. The school of theology shall be an ecumenical Christian centre of theological education for the purpose of providing

- instruction and training that will prepare men and women to exercise the professional ministries of the Christian churches,
- facilities for the advanced study of theology and for theological research,
- instruction and training in theology for lay persons that will further the general ministry and mission of the Christian churches,
- for the recognition of the polity, and the support of the worship and spiritual disciplines, of the participating denominations,
- an ecumenical forum for theological dialogue among persons of different disciplines and different theological viewpoints, and
- for such other christian educational services and facilities as the board of governors may from time to time authorize.

4 (1) The school of theology

- may acquire and dispose of property, including land,
- may borrow money and grant mortgages and other charges on its property as security for such borrowings,
- may apply to secure letters probate or of administration with will annexed where named a beneficiary in a will,
- may grant in its own name and right academic degrees and honours in the study of theology and related disciplines, and,
- may associate, affiliate or participate with any Christian denomination and with any university, college or other educational institution.

Philosophy and Mission[2]

Vision

In the Spirit, we are called to be faithful and discerning disciples of Jesus Christ, witnessing to the living God.

Mission

Vancouver School of Theology is an institution of theological education, inspiring its community:

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[2] Taken from the Board of Governors Policy Manual.

- To engage issues of truth, justice and spiritual growth,
- To develop ministries in the service of Jesus Christ, and
- To partner with First Nations and the global aboriginal community.

Values

As a community of faith, we value:

- Biblical and theological learning,
- An integrated life of mature Christian spirituality and discerning ethics,
  Diversity of cultures and the dignity of individuals, and
- Learning undertaken with diligence and an open mind.

Functions

The functions of VST are divided between academic/teaching, operations of the physical plant, and administration. The Principal's Office retains ultimate academic and administrative oversight. Day to day functioning of the School, however, is managed by five departments whose personnel work collaboratively, and the Finance department undertakes the administration and financial management of VST.

Narrative Answers to Research Questions

GRAs conducted interviews with the test bed partner using the interview protocols for records research, records systems research, and policy research. The transcripts are attached as Appendices 1 – 3. The key findings from the research questions can be summarized as follows.

VST is typical of many small- to medium-sized organizations that have enthusiastically embraced computer technology in their administrative offices over the past 15-20 years for its promise of streamlining workflow and enabling greater productivity. This enthusiasm is often accompanied by a lack of technological sophistication, knowledge and IT vision. Hallmarks of early adoption of IT were stand-alone machines in each office, no network capabilities, no regular or consistent backups, lack of interoperability (software often a matter of personal choice rather than institutional policy), little or no proper management of electronic files (absence of classification schema, retention schedules, long-term preservation plans) and no thought to the consequences of hardware and software obsolescence. Over time, continuing use of electronic systems and adoption of and reliance on more applications, including e-mail, resulted in hybrid systems of paper and electronic records, materials created and saved in a variety of applications, few or no backups, haphazard upgrading of operating systems and software, and no protection from malicious or accidental tampering. As few as six years ago at VST one might find people working in either a Mac or PC environment, creating and storing documents in Microsoft Word, Word Perfect, or Lotus WordPro, Excel or Lotus 1-2-3. In 2004, administrators adopted an institution-wide LAN. All personnel now use standardized software running on institutional servers, and all files are saved on the servers and not on local machines (although the prevalence

of laptops has allowed some local files and unique applications to prevail). Although an effort was made to migrate all files into the new and standardized system, it is by no means clear that all electronic files were preserved that should have been. Lack of risk, and has become a priority.

Findings, Recommendations and Products

Discussion over the course of several InterPARES plenary meetings in Vancouver guided the GRAs. It quickly became clear that a policy for creating, managing, and preserving digital records without an overall records management policy would not be effective. Furthermore, a clear records management policy that governed records regardless of medium was required. The GRAs, in consultation with the test-bed partners, developed a draft policy for records management. This policy has subsequently been adopted by VST (see Appendix 4).

The next steps took place outside of the original scope of the case study. It was necessary to develop a classification schedule for VST's administrative records, and work with departments towards its implementation. GRAs interviewed records creators and drafted a classification plan. At the same time, VST's records manager worked with the IT administrator to create a simple folder architecture for VST's shared drives.

InterPARES' involvement ended after the May plenary, 2011. It remained with VST to implement the classification scheme, and reorganize the shared drives. This work was ongoing through the summer. In the fall of 2011, VST undertook a further round of organizational restructuring and one of the positions eliminated was that of the records manager. The collaboration with InterPARES has resulted in an approved records management policy, a records classification scheme and new shared drive architecture. It will depend on human resources to see these maintained in order to preserve VST's documentary history for its evidential and cultural value.

Appendix 1: Policy Research Questions

1. *How are policies generally developed, and what is the context within which they are being developed (e.g., accountability)?*

    Policies that are the responsibility of this test bed (the Principal's Office and Finance Department) are management policies. They are developed by the senior administrator responsible for managing the policy and then discussed and ultimately approved by the Administrative Staff Group of senior administrators. Certain management policies (e.g., anti-harassment policy, whistleblower policy) are developed by the responsible administrator and approved by ASG before going to the Board for final approval.

    Policies outside the scope of this test bed are developed similarly. Board policies are developed by subcommittees of the Board of Governors and then approved by the Board. The Faculty Handbook is developed by the Faculty Association and approved by the Board. Policies governing students are developed by the Registrar and Dean of Students and approved by Faculty Council.

2. *What collaborative efforts (either internal, among units of the organization, or external, in collaboration with other organizations or teams of experts) are made to design and establish a policy?*

    The person responsible for drafting a policy will consult with individuals in the organization who will be responsible for administering or otherwise working with the policy. They may also seek expert opinion from outside the organization or consult similar policies of comparable institutions.

3. *Who is responsible for issuing a records/archives policy?*

    The VST Archivist retired in December 2004 and has not been replaced. VST's last policy on records management and archives (undated) predates all current management personnel and is not being followed (see Appendix 1).

    Different departments assume responsibility for their own records. For example, the finance department will send its records to the archives each year and retain records according to CRA requirements. However, disposition is not monitored beyond the seven-year requirement for financial records. There is a retention schedule for accounting records and related correspondence dated March 15, 1956 (see Appendix 2).

    Student records (not the subject of this test bed) are managed by the Office of the Registrar, and a retention schedule was recently developed by the Registrar in conjunction with the Director of Institutional Development (currently completing the MAS degree). Issues surrounding privacy and access are handled in the Principal's office by the Director of Institutional Development.

4. *Who is responsible for implementing a records/archives policy?*

N/A

5. *What are the procedures for ensuring that all the concerned parties are aware of, comprehend and apply the records/archives policy?*

   N/A

6. *Who is responsible for auditing the implementation of the records/archives policy?*

   N/A

7. *What is the relationship between the archives and the records creator(s)? (e.g., are they collaborating in records creation and management? If not, does the archives issue a retention and disposition schedule?)*

   Although VST does have an archives, the archivist retired in December 2004 and has not been officially replaced. In the past, the archivist did answer questions about records creation, retention and disposition (paper records), and issue retention schedules. These have not been consulted or followed for some time. Currently, questions about records are directed to the Principal's office, and legal counsel or current legislation may be sought as necessary (for example in the creation of contracts and legal retention requirements for certain types of records respectively.)

8. *What is the relationship between units that are involved with records/archives creation and management (e.g., archival and IT personnel, records creating departments and IT)? Do they collaborate? If so, by what means? How frequently?*

   As VST is a small, informal organization (approx. 40 staff/faculty) each department or unit that creates records is headed directly by a member of the senior management team. That team meets weekly and any questions about policy or records is raised at these meetings, or directly with the personnel involved.

9. *To what extent do existing policies, procedures, and standards currently control or influence records creation, maintenance, preservation or use? Do they need to be modified or augmented?*

   Where VST is aware of its legal requirements, as in handling financial records, student records, personnel records and so on, existing policies, procedures and standards are influential. VST is in the process of gathering its policies and procedures in one location where they will be accessible to everyone who needs them – in the past there have been instances where key personnel have been unaware of existing policies. Many policies/procedures/standards are due for review and revision.

10. *What legal, moral (e.g. control over artistic expression) or ethical obligations, concerns or issues exist regarding the creation, maintenance, preservation or use of the records?*

   The Vancouver School of Theology Act, the Freedom of Information and Protection of Privacy Act, provincial and federal human rights legislation, Employment Standards Act [RSBC 1996] Chapter 113, regulations and requirements set out by the Canada Revenue Agency, standards set by the Canadian Institute of Chartered Accountants, and

requirements of the Association of Theological Schools, the accrediting body for VST all exercise control over the creation, maintenance, preservation and use of the School's records.

11. *Does the archives have a record/archives policy for traditional records? If yes, when was it issued and how often is it revisited? If yes, is it fully implemented? If yes, does it fulfill the archives needs and purposes?*

See question 3 and Appendix 1.

12. *If the archives does not have a records/archives policy, what procedures or informal processes does it carry out to handle transfers of records, to process and preserve them?*

The Director of Institutional Development has handled several transfers of paper records to the Archives since 2007. File lists have been created and they have been, or are in the process of being described according to the Rules of Archival Description (RAD).

13. *How many staff members does the archives have? What are their qualifications and competences?*

The archives currently has no staff. The Director of Institutional Development, currently completing the MAS degree, tries to fulfill certain minimal duties, and the archivists for the Anglican and United Church, who are onsite, are very generous with their time as needed.

14. *Who are the primary or exclusive users of the archives?*

Faculty occasionally use the archives. Outside researchers also occasionally make requests, which are handled by the Library Director, the Director of Institutional Development, or the Anglican or United Church archivists as is most appropriate for the request.

15. *How many records does the archives receive each year?*

In 2007-2008 the archives accepted approximately 5 metres of records from the property development and from the finance department. These have been accessioned but not fully processed. Several faculty members are waiting and expecting to donate their records to the archives – there is currently no policy on accepting faculty records.

16. *Does the archives already hold digital material? If yes, what type of material, and how has it been processed and preserved? If not, what digital material does the archives expect to receive and when?*

The archives does not have any digital material. The holdings do include microfilm, but no preservation strategy is being followed.

17. *If the archives currently preserves digital material, what is its primary method for this preservation (e.g., copying, migration, emulation, etc.)? How frequently does the archives attend to these digital materials?*

N/A

18. *What are the knowledge and financial resources of the archives? What are its technological capabilities, if any? What are the future expectations for resources and technical capabilities?*

The Archives has a small line in the VST operating budget. The Director of Institutional Development is prepared to take on more responsibility in the Archives if the work schedule can be arranged.

Appendix 1a: VST Policy on Records Management and Archives

Appendix III

THE VANCOUVER SCHOOL OF THEOLOGY: POLICY ON RECORDS MANAGEMENT AND ARCHIVES

I. Purpose:

1. To provide a suitable repository, maintained and operated according to accepted archival standards, for the acquisition, preservation and use of:

   (a) the official records of the School, including: official minutes of the Senate and Board of Governors, and their committees; faculty and staff records; student records; financial records; and official records of the Principal, the Bursar, the Registrar, and its other officers and employees;

   (b) non-official records of the School, such as publications, printed programs, films, tapes and other material reflecting its history and activities.

2. To encourage donations to the School of the personal papers of its faculty members, students, alumni, and friends, relating to its history and activities.

3. To establish and maintain through the Archives Committee a program of records management for the official records of the School.

II. The Archives Committee:

1. There shall be a committee of the Board of Governors of the School known as the "Archives Committee," hereinafter called The Committee.

2. Membership:

   (a) The Committee shall consist of:
   (i) the Archivist, who shall become the Secretary of the Committee;

   (ii) the Librarian of the School, or his/her designate, ex-officio;

   (iii) three members appointed by the Board of Governors for two-year terms, of whom one shall be a Professor of Church History of the School and at least one shall be a member of the Board of Governors.

   (b) Appointed members shall be eligible for reappointment for one consecutive two-year term.

3. The terms of reference of the Committee are:

   (a) To develop (in consultation with the Officers and Departments concerned) a program of records management for the School, in order to provide archival retention of those items of enduring historical and research value;

   (b) To develop policies (including access) for the operation of the Archives, and administer such policies as are approved by the Board of Governors;

   (c) To oversee the archival needs, both physical and operational, of the School, and recommend such measures as may be deemed advisable to promote the preservation and use of the archival records;

   (d) To prepare, and amend as required, a position description for the School Archivist if and when one is to be appointed;

   (e) To present annually the Archives budget to the Board of Governors; and

   (f) To report regularly to the Board of Governors.

As approved by the Board of Governors on:_____

Appendix 1b: Excerpt from Finance Committee Minutes

Excerpt from Minutes: Finance Committee, March 15, 1956.

Records:

After some discussion and amendments the following motion was put to the meeting and carried:

It was moved by Mr. Bell-Irving and seconded by Archdeacon Greig that the procedure in regard to the time of retention of accounting records and related correspondence in connection with the Bursar's office be as follows:

1.   To be kept indefinitely:

General Ledger,
Annual Financial Statements,
Minute Book,
Special Correspondence (designated as such by
        the Finance Committee or Principal)
Bills for Capital Expenditure.

2.   To be kept ten years:

Cash Books and Journals.

3.   To be kept for seven years:

Bank Statements and paid cheques,
Duplicate cash receipts.

4.   To be kept for two years:

Correspondence.

5.   To be kept till after annual audit:

Bills and statements for usual purchases, except
those the Bursar might wish to retain for refere
Correspondence relating to these accounts.

.... Carried

C O.P Y

Appendix 2: Recordkeeping Systems Research Questions

1. *Does the creating body have a recordkeeping system in place for its traditional records? If yes, what are its components (e.g., classification system, retention and disposition schedule)? If not, does it have specific control instruments, such as indexes?*

    VST has no formal or standardized recordkeeping system. Each department creates its own filing system. The School's default policy is to keep all important records indefinitely, although the Registrar's office and the Finance office do cull records and identify records for permanent preservation every few years.

2. *Does the creating body want to establish an integrated and centralized digital recordkeeping system, controlling all records of the organization in all media and form? If yes, what are the separate records creating units that would share the system? If not, does the creator want separate records systems for digital and traditional records, or does it want separate recordkeeping systems for each unit?*

    VST does intend to establish an integrated and centralized digital recordkeeping system over time. Initially, however, specific records creating units will establish separate departmental recordkeeping schemes, based on a centralized classification system that links traditional and digital records.

3. *What are the system(s) within which the records are presently created (e.g., functionality, software, hardware, peripherals etc.)?*

    The VST Server-based network is Microsoft software. VST runs all functionality software, hardware and peripherals through this design system. For Microsoft applications file/folder organizational systems are used, organized by user name or by work departmental area.

4. *From what applications would the recordkeeping system(s) inherit or capture the digital records and the related metadata (e.g., email, tracking systems, workflow systems, office systems, databases, etc.)?*

    VST currently has no formal electronic record or document management system for capturing all digital records. Email is created, received and maintained on the server in Microsoft Office Outlook 2003. Some people have developed a personal system of folders in Outlook; others save messages in folders on their personal drive or in shared drives. Attachments are created in a variety of file formats. Documents and image files are created and maintained in folders on secure personal or shared drives.

    Contact information, including personal information such as home address, phone and email contact, gift and donation information, course registrations, grades, and various point-of-contact events or activities, is created and maintained in three databases: Raiser's Edge (Blackbaud) is used to track mailing information, actions, gifts and donations; Student Information Systems (SIS – Blackbaud) is being integrated to handle all student

registration and billing, linking with Raiser's Edge and the accounting software (AccPac); Paradox is the old database used to handle student registrations and billing. VST is in a transition period where previous records have been migrated from Paradox to SIS but data is currently being entered into both systems to ensure the new system is working properly. The anticipated date for converting entirely to the new system is September 1, 2009.

The finance office manages its records in Excel and AccPac.

5. *Are the digital records that will be captured in the recordkeeping system already organized in a way that reflects the creation processes? What is the framework (e.g., functional classification), if any, for organising them?*

Files are organized by each department according to their needs. Filing systems are not standardized. People use a combination of function and subject to organize their files.

6. *Who needs to have access to the records controlled by the recordkeeping system and their metadata?*

Individual VST employees need access to the files created by their department. Some personnel will need broader access to files from several departments. This is currently reflected in the system of personal and shared drives on the network.

7. *Has the creating body, with or without the archives, already defined the intellectual and technological components and/or functional requirements for the recordkeeping system? If yes, what are they? If not, what are the fundamental requirements and the necessary components that would have to be implemented in such a system?*

This has not been done. The fundamental components that will be required for systematic, consistent and integrated recordkeeping will be a simple functional classification scheme with retention schedules, policies and procedures. Technological components will include the shared drive system, databases and/or spreadsheets.

8. *What descriptive or other metadata schema or standards are currently being used in the creation, maintenance, use of the digital records?*

The only metadata in place are those embedded in the software applications in use. These are not used in any meaningful way.

9. *What are the financial resources and technical capabilities of the creating body?*

VST is a low-need system for technology. Therefore it does not hire full- time people, nor acquire expensive systems for any design. Financial resources, at this point, are not distributed in these areas, and so there is low availability. This can be changed as VST moves into a planning process which identifies this management of information as a priority.

10. *What are the issues specific to the records of this creating body in relation to accessibility, security, data privacy, and FOIA?*

While several departments are well aware of the need for data privacy and security, requirements and consequences of Freedom of Information and Protection of Privacy legislation is generally not well understood or observed. Because of the significant amount of personal information the School gathers and holds, gaining control of records to ensure appropriate access, security and privacy is a high priority.

11. *With respect to the recordkeeping system represented in the InterPARES 2 Chain of Preservation model, what level of complexity is needed by the creating body?*

VST's business activities are generally simple in scope and documentation. Because of the culture of the School (independence of faculty, staff and administrators as groups), the variability of familiarity and ability with the software applications currently in use, success in implementing any recordkeeping system will depend on its simplicity and ease of use.

Appendix 3: Records Research Questions

1. *Which activities generate these digital records?*

   Activities include, but are not limited to, negotiating contracts with faculty and institutional partners, engaging visiting scholars and arranging guest lectures, meeting and conducting business with the Board of Governors, Faculty Council, Theological Consortium, Native Ministries Consortium, Administrative Staff Group and other committees, managing relationships with accrediting bodies and institutional partners, raising funds through and relating to individual donors, making grant applications to foundations and organizations, reporting to all donors, promoting and marketing the School, managing and reporting the School's finances.

2. *For what purpose(s) are these digital records created?*

   These digital records are generated for the purpose of furthering the work of VST through required reporting to the Board of Governors and other regulating bodies and partners, contracting with faculty and visiting scholars, maintaining relationships with donors, advertising and promotion, conducting financial business.

3. *Who are the intended users of these digital records?*

   Administrators, faculty, Board members, contractors/faculty/sessionals, donors, educational partners, students, accrediting bodies and supporting denominations.

4. *What are the key formal elements, attributes, and behavior (if any) of these digital records?*

   Key formal elements tend to be author/writer/recipient name (title and address/contact information is optional and dependent on record type), date, subject or purpose, and body content.

   Attributes: N/A

   VST's digital records tend to be static with the exception of formulae in Excel documents and, occasionally, updating date fields (this is the exception rather than the rule, and may be done in error).

5. *What metadata is manually added to the records by their author and their creator? What metadata is automatically generated and attached to the record?*

   No metadata are added manually to office documents; automatically generated metadata are restricted to that automatically programmed by proprietary software (such as Microsoft Office and Blackbaud Raiser's Edge) and metadata attached by the workstation on which the writer generates the document. However, work station metadata are rarely, if ever, updated to reflect changes in writer/originator.

E-mail metadata that are added manually include recipient(s) e-mail addresses and subject lines, flagging, etc. Metadata generated automatically include date/time stamps, size, response request information, etc.

6. *In what formats do the digital records exist (e.g., Word or Excel files, .TIFF images, .wav files, etc.)?*

Microsoft Office documents (.doc, .xls., .ppt, .mdb. .pub), .jpg, .bmp, .pdf, .TIFF, .png; e-mail (generated in Outlook 2003) are .msg files.

7. *What are the digital components of these digital records?*

Digital components depend on the file format. E-mail may contain links, fonts, embedded images, sound or video. E-mails also frequently contain attachments, usually Word, .pdf docs, Excel, or image files. Word and Excel contain fonts, hyperlinks, embedded images; Excel also may contain formulae and macros.

8. *How are these digital records identified (e.g., is there a [persistent] unique identifier)?*

Documents are named by the writer with no standard naming conventions and filed on shared drives or on personal drives. Again, no standard filing system or classification is used. E-mail is identified by sender/receiver/date/subject and may or may not be archived in a folder that identifies its subject or purpose.

9. *What measures does the creator take to ensure the accuracy, reliability and authenticity of the digital records and their documentation?*

All personnel log on to the network servers with secure, unique passwords. However, several drive spaces are shared and there is no way of establishing which personnel have added, deleted or altered files in those drives if they have full read/write drive access. E-mail accounts are similarly password-protected.

10. *Once a digital record is created, how is it handled? That is, where is the record stored (e.g., the creator's desktop, sent to an information system, printed, etc.)?*

The record may be stored on the writer's desktop, but normally will be stored on the VST server, either in the writer's protected drive space or in a drive shared with other individuals who need access to the record. The record may be printed to complete its purpose (e.g., contracts for staff, casual labour, or sessional lecturers) or for reference. With respect to e-mail, incoming e-mails are automatically saved to the recipient's inbox.

11. *How are changes to these digital records made and recorded?*

Changes may be made by any individual with access to the document/record; normally, this will be the writer; the changes are not generally tracked.

12. *Are these digital records linked by an archival bond to records on other media? If yes, what records? How is their relationships made explicit?*

Digital records are kept in folders on the server. These folders may correspond to paper files, although there may be naming inconsistency and there is rarely an explicit link between paper and electronic files.

For example, minutes of meetings of the Board of Governors, and Faculty Council, are kept electronically and distributed in paper and electronic copies. Approved copies of Administrative Staff Group minutes are supposed to be kept in a folder on a shared drive, but as minute takers are different for each meeting, this is not always observed and the digital records reside on the note-taker's drive.

E-mails either remain in the recipient's Inbox or are moved and saved in folders within Outlook; their attachments may be saved in other folders on the drive with or without the original e-mail.

Correspondence that originates as e-mail is generally kept electronically and in hard copy, often with no explicit link.

Budgets, income and expense reports, benefits and payroll reports and other financial working papers are filed electronically with reference paper copies in folders with the same or similar names.

Letters and review/evaluation documents pertaining to employment, faculty review documents, contracts, and all other records requiring a hand- written signature are kept in paper files. Electronic drafts and reference copies may be kept, although their bond to the paper records may not be explicit.

Donation Receipts reside in the donations database. Paper copies are kept in readily identifiable files.

Policies are kept in digital form in a shared drive.

Paper and electronic grant applications are not consistently or explicitly linked.

13. *If the archives has the records in custody, when and how were they acquired? How were they processed? How are they preserved?*

The Archives has no digital records in its custody and there is no documented procedure for acquisition or preservation.

14. *If the archives does not have the records in custody, when does it expect to receive them?*

There is currently no schedule.

Appendix 4: Records Management Policy

Vancouver School of Theology

Records Management Policy – Draft November 2, 2009

(for the creation and maintenance of VST records, digital or paper)

Preamble

This policy is a first step in developing a records management program for paper and digital records at the Vancouver School of Theology (VST) and articulates management's commitment to better governance through proper records management. It precedes the development of a records classification system based on the functions of the School, appropriate retention schedules and procedures. These instruments are being developed as part of a case study in the InterPARES (International Research on Permanent Authentic Records in Electronic Systems) 3 Project,[3] in which VST is a test-bed partner. Although this policy's recommendations will, over time, be applied to all the records of the School, the InterPARES 3 case study focuses on the administrative records of the Office of the Principal, and this is where the work will commence.

The policy and procedures are being developed in accordance with guidelines set out by the InterPARES 1 and 2 Projects[4] for the creation, maintenance and preservation of authentic and reliable digital records, and will apply to all VST's records, regardless of form or medium.

This policy will become effective as of [date]

Policy Statement

VST recognizes that efficient management of its records, regardless of form or medium, is essential to support the work of the School, to facilitate governance and management, and to enable the School to comply with legal and regulatory obligations. VST is committed to developing an effective records management program that will promote record accessibility and support VST in meeting its obligations for accountability and protection of privacy, reducing risk and maximizing efficiency.

This policy provides a framework for the creation, management and ongoing preservation of VST's records on any medium that are authentic, reliable and accessible for current and future use.

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[3] See http://www.interpares.org/ip3/ip3_index.cfm.
[4] See http://www.interpares.org/ip1/ip1_index.cfm and http://www.interpares.org/ip2/ip2_index.cfm.

Authority

Legislation:

- Vancouver School of Theology Act (1993) Personal Information Protection Act BC
  Policies and Standards:
- VST Privacy Policy[5]
- Association of Theological Schools (AST) of North America General Institutional
  Standards[6]

Application

This policy applies to all staff, faculty and administrators of VST.

Definitions

Accessibility: The availability, intelligibility and usability of information.

Accuracy: The degree to which data, information, documents or records are precise, correct, truthful, free of error or distortion, or pertinent to the matter.

Archival description: Information that serves to identify, manage, locate and explain archival materials and the context and records systems which produced it.

Authenticity: The quality of a record that it is what it purports to be and that it is free from tampering or corruption. A record is considered authentic when its identity and integrity can be ascertained.

Complete record: A record that contains all the elements required by the creator and the juridical system for it to be capable of generating consequences.

Digital record: A digital document that is treated and managed as a record.

Record: A document, or recorded information, made or received in the conduct of business, and set aside for action or reference for the delivery of VST programs and services, to carry out operations, to make decisions and to account for activities. Any record made or received in the course of an employee's or contractor's duties at VST is the property of VST with the exception of teaching and research materials as covered in the VST Faculty Handbook.

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[5] Available at http://www.vst.edu/pdfs/policies/VST%20Privacy%20Policy.pdf.
[6] Available at http://www.ats.edu/Accrediting/Documents/08GeneralStandards.pdf.

Reliability: The trustworthiness of a record as a statement of fact. It exists when a record can stand for the fact it is about, and is established by examining the completeness of the record's form and the amount of control exercised on the process of its creation.

Trustworthiness: The accuracy, reliability and authenticity of a record.

Goal and Objectives

The goal of this policy is to ensure that complete, accurate and reliable records of all activities and decisions, regardless of medium or format, are created, managed and retained or disposed of appropriately, and in accordance with relevant legislation, policies and standards.

The policy has the following objectives:

- to ensure that accurate and reliable records are created, and maintained authentic to support the work of the Vancouver School of Theology;
- to ensure that complete, accurate and reliable records are readily accessible to staff and administration as needed to perform all job duties; and
- to define roles and responsibilities of staff and administrators for records creation, maintenance, retention and disposition

Scope

This policy provides for the creation, assessment and maintenance of records in any medium. Records created in the usual and ordinary course of business are presumed to be trustworthy; that is, they are accurate, reliable and authentic, and are capable of supporting and managing the work of the School. VST will establish and follow procedures in support of this policy to ensure that all records are trustworthy from the moment of their creation through their use and ongoing maintenance. Specific procedures are required for the maintenance and preservation of digital records on a continuous basis from the moment of creation (keeping in mind that it is not possible to preserve the physical (digital) record, but only the ability to reproduce that record.)

Records should be kept only as long as they are needed for action or reference and be properly destroyed or transferred to the Archives according to retention schedules that reflect the needs of the School and follow legal and regulatory guidelines. Appraisal of digital records is an ongoing activity required to ensure their ongoing trustworthiness and usability (the records are still deemed authentic and are accessible), to be accomplished through procedures that will be developed and monitored. In the absence of retention schedules formally approved by VST, records should not be destroyed.

All maintenance and preservation activities will be fully documented as a primary means of protecting and assessing authenticity over the long term. VST presumes that records in any medium it creates in the usual and ordinary course of business are authentic, but will ensure that records creation and maintenance will be strictly controlled so that the presumption of authenticity will have a strong procedural foundation. Digital records are vulnerable to

inappropriate alteration and are most at risk when transmitted across space (when sent between persons, systems or applications) and time (either when they are stored off-line or when hardware or software used to process, communicate or maintain them is upgraded or replaced). VST will develop and implement procedures to ensure that these records are protected from intentional, accidental or incidental alteration.

Paper records identified for permanent preservation will be transferred to the custody of the Archives when they reach the end of their active life in accordance with retention schedules to be developed. Digital records will remain in the custody of their creator, maintained and preserved according to the accompanying procedures until such time when the Archives will have the technological ability to preserve them. Hybrid series/files (where paper and digital records co-exist) will be linked through digital metadata and archival description. When the Archives will be able to accept digital materials, inactive digital records identified for permanent preservation will be transferred to the Archives.

Duties and Responsibilities

Overall responsibility for records management policy and procedures, and for supporting their application throughout the organization, resides in the Office of the Principal. All employees of VST have a duty to create and maintain trustworthy records according to the procedures related to this policy.

Director – Records Management and Privacy (or designate)

- Raise awareness of records management issues with staff and administrators; Develop, with input from and in consultation with administrators, a records classification scheme, and retention and disposition schedules for all records, regardless of their medium;
- Identify, with input from and in consultation with administrators, existing digital records, ensure their trustworthiness according to the InterPARES 1 Project's "Benchmark Requirements Supporting the Presumption of Authenticity of Electronic Records,"[7] and determine and maintain their relationships with corresponding paper records;
- Advise, train and support staff in implementing records management procedures; Work with the IT Director to select hardware, software and file formats that offer the best likelihood of interoperability and continuing accessibility over time; and Monitor progress in implementation of procedures, providing support as necessary.

Director – IT

- Conduct business analyses to determine the requirements for managing VST's digital records; and
- Provide the technological infrastructure, including installation of software applications, to support the effective maintenance of digital records in accordance with this policy.

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[7] Available at http://www.interpares.org/book/interpares_book_k_app02.pdf.

Administrative Staff Group (Directors)

- Ensure that relevant procedures are in place in their departments, that staff are trained, and that procedures are assessed to manage effectively the records of their departments.

Staff

- Participate in training to understand their role in supporting VST's records management program.

Conclusion

Records are at the heart of management accountability, management of information, access to information and protection of privacy. Records provide the basis of sound internal decision-making and optimal delivery of services.

VST depends increasingly on computer technology to create notes, drafts and official records upon which it relies. As well, business is mostly conducted by e-mail.

Increasingly, digital records are becoming the records of choice, superseding paper records. Computer systems encourage information sharing and collaboration in decisions. However, control of digital records is difficult precisely because of the real-time nature of electronic communication and the capacity to share documents and ideas within and outside the organization. Control needs to be established at the point of creation to ensure trustworthy and complete records.

This policy is the first step in the management and control of this important asset. Adherence to this policy, supported by classification, retention and disposition schedules, and accompanying procedures, will establish control on the creation and growth of records, improve efficiency and reduce operating costs through time lost searching for records, ensure regulatory and legal compliance, safeguard vital information, support better decision making, preserve our institutional memory, and foster professionalism.