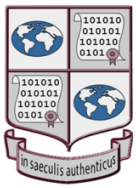

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Author: The InterPARES 3 Project, TEAM Canada

Writer(s): Harrison W. Inefuku
School of Library, Archival and Information Studies,
The University of British Columbia

Alexandra Allen
Project Coordinator

Project Unit: Research

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Research Team

The InterPARES Project would like to thank the research and research assistants that contributed to the development of the Policy and Procedure Templates:

Researchers:
Luciana Duranti, Project Director, TEAM Canada
Alexandra Bradley, Harwood Information Associates, Ltd.
Alexandra Allen, Project Coordinator, TEAM Canada

Graduate Research Assistants
Harrison W. Inefuku
Patrick Ansah
Yolanda Bustos

Overview

InterPARES 1 defines policy as, "a formal statement of direction or guidance as to how an organization will carry out its mandate, functions or activities, motivated by determined interests or programs."[1] InterPARES 2 defines procedure as, "the body of written and unwritten rules governing the conduct of a transaction or the formal steps undertaken in carrying out a transaction."[2] In other words, policies are high-level statements that guide the activities of an organization to fulfill the mission and mandate of that organization. Procedures are directions for the activities necessary to fulfill policy.

The TEAM Canada Plenary Workshop from May 2010 to May 2011 decided that General Study 11 would continue to work towards drafting records management policy and procedures templates which reflect the findings of the general study, previous InterPARES policy case studies and guidance set out by the InterPARES Project for the creation, maintenance and preservation of authentic, accurate and reliable digital records. The researchers determined that the general study would serve to standardize the policy and procedure templates recommended by InterPARES as well as contain an example of the elements that a well written policy should contain. While policy and procedure documents reflect the specific environment of each organization and context to which they apply, these templates should reflect the ideal and make explicit the responsibilities and authority under which the policies and procedures are created.

[1] Luciana Duranti, et al., "Part Four – An Intellectual Framework for Policies, Strategies, and Standards: Strategy Task Force Report," in *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*, Luciana Duranti, ed. (San Miniato, Italy: Archilab, 2005), 118. Online reprint available at http://www.interpares.org/book/interpares_book_g_part4.pdf .

[2] Luciana Duranti and Randy Preston, ed. "Glossary." *International Research on Permanent Authentic Records in Electronic Systems (InterPARES 2): Experiential, Interactive and Dynamic Records*. (Rome, Italy: Padova, 2008), 830.

Background and Rationale for Study

Policy and procedures tend to be a major subject of discussion among the InterPARES 3 TEAM Canada researchers as it involves records creators and preservers. The need for a general study on the creation of policy and procedure templates was identified during the November 2009 plenary workshop for TEAM Canada, where Lara Wilson suggested, "Likewise, another useful product would be a template for procedures that would clarify how a procedural document is separate from a policy document."[3] Indeed, a number of case studies are working to develop policies and procedures for records management programs (for a list of these case studies, see Appendix A).

Accordingly, the InterPARES 1 research plan, within Domain 4, (under the Strategy Task Force) identified relevant areas and developed an intellectual framework aimed to outline principles necessary to guide the formulation of international policies, strategies and standards related to the long-term preservation of authentic electronic records. The Strategy Task Force was also tasked to investigate the criteria for developing national and organizational policies, strategies and standards.[4]

Although many model policies and procedures exist, and substantial research efforts have explored policy and procedural issues resulting in various templates, these templates tend to be widely scattered. More often than not, users have to consult several of them to figure out the useful ones that address their specific needs. Moreover, these policy and procedures templates tend to be developed for larger organizations and will likely not work for smaller archival organizations. It is evident from several case studies that smaller organizations tend to have very specific policy and procedure needs and requirements and may find it difficult to apply broad policies to their situations.[5]

Given the above, and on the basis that any solution to digital preservation problems are mostly situation specific, it is crucial to develop scalable policy and procedures templates that will suit the needs of small- and medium-sized archival organizations while relying on established intellectual frameworks. This will also meet the InterPARES 3 Project's goal, which aims to:

> […] enable small and medium sized public and private archival organizations and programs, which are responsible for the digital records resulting from government, business, research, art and entertainment, social and/or community activities, to preserve over the long term authentic records that satisfy the requirements of their stakeholders and society's needs for an adequate record of its past;[6]

[3] Randy Preston, "TEAM Canada Plenary Workshop #05: Proceedings," InterPARES, Final v1.0, November 2009. Available at http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_wks05_proceedings_FINAL_v1-0.pdf , p. 18.
[4] Luciana Duranti, et al., "Part Four – An Intellectual Framework for Policies, Strategies, and Standards: Strategy Task Force Report," in *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*, Luciana Duranti, ed. (San Miniato, Italy: Archilab, 2005), 117.
[5] As observed by Luciana Duranti during the November 2009 plenary workshop for TEAM Canada.
[6] Luciana Duranti, "Organizational Policy: Project Goal," InterPARES 3 Project, TEAM Canada (v2.0, December 2007, Updated September 2008). Available at http://www.interpares.org/display_file.cfm?doc=ip3_organizational_policy_v2-0.pdf.

Goals and objectives

The goal of the general study is to ensure that the structure (external and internal) of records management policies and procedures comprise required elements[7] that support the creation management and disposition of a complete, accurate and reliable records.

The general study has the following objectives:

1) Provide a set of policy and procedure templates that support records creation, maintenance and preservation, regardless of jurisdiction.
2) Provide tailored model policy and procedure templates for different types of organizations or functions that will be identified as needing
3) Bring both new and existing scattered policy and procedure templates under one source while pointing potential users to it for easy access.
4) Provide a solid foundation and guidance for other InterPARES case studies to build upon in developing tailored policy and procedures for test-beds, thus avoiding the daunting task of creating a new digital preservation policy from scratch.

Methodology

The principal methodology used for the general study was content analysis. Graduate Research Assistants (hereafter GRAs) conducted a comprehensive overview of existing policy and procedure templates, and from their research, were able to provide some practical recommendations regarding the creation and implementation of policy and procedure templates. Existing policies and procedures were grouped under the themes policy study, educational policies, and municipal policies. A matrix[8] was created to compute all the policy elements to compare them to identify gaps and weakness both in context and content. Previous InterPARES case studies that had produced policy elements were analyzed along with the result from the matrix. Collectively, the findings from the matrix and findings from previous InterPARES policy case studies form the basis for inclusion in the proposed policy elements.

[7] These elements may have different titles but must achieve the same results; example is the use of *contact* or *enquiry* to convey the same message.
[8] Available at http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_gs11_policy_matrix_v1-1.pdf.

Findings

The findings of the general study are summarized below:

Objective one:

Provide a set of policy and procedure templates that support records creation, maintenance and preservation, regardless of jurisdiction.

Observation: The structure of digital preservation policies by way of components vary, but slightly, and not in any particular order.

There exist some specific heading titles in most digital preservation polices—namely *objectives, mandate, responsibilities, scope, policy statements,* and *definitions.* Other essential policy elements such as *policy review dates* and *contact information* were either omitted or inconsistent in digital preservation polices. This may be due to the fact that policies are influenced by legislative and regulatory requirements which can vary in different jurisdictions. Archives and records management organizations may also be using institutional policy templates that omit such information. Moreover, solutions to digital preservation problems can be situation specific. In effect, the InterPARES policy templates can only be generic and scalable enough to suit the nature and needs of organizations while ensuring that principles for the creation, maintenance and preservation of records are enshrined in the key elements. For example, Principle 2 of the Strategy Task Force Report states that any records preservation policy, strategy, or standard should "focus on authentic electronic records." This principle must inform the content that is included in the *scope* section of a digital preservation policy.

Objective two:

Provide tailored model policy and procedure templates for different types of organizations or functions that will be identified as needing

Observation: The same basic policy elements that are required can be applied to different types of organizations with only slight changes.

Digital preservation policies, be it for educational, municipal, culture, or other organizations, do not differ hugely in heading titles but in content. However, the InterPARES policy template must cover all the three different environments identified by the Policy Cross-domain Task Force (i.e., the arts, the sciences and government / administration).[9] This can be achieved by including *areas*

[9] Luciana Duranti, Jim Suderman and Malcolm Todd, "Part Seven—Structuring the Relationship Between Records Creators and Preservers: Policy Cross-domain Task Force Report," [electronic version] in *International Research on Permanent Authentic Records in Electronic Systems (InterPARES) 2: Experiential, Interactive and Dynamic Records*, Luciana Duranti and Randy

of coverage that suit the organization's needs. For example, for the arts, including an *area of coverage* that captures issues of intellectual property/copyright must be a priority.

Objective three:

Bring both new and existing scattered policy and procedure templates under one source while pointing potential users to it for easy access.

Observation: There is a high level of broken links to digital preservation policy resources in the online environment

Most digital preservation policy and procedures resources are online. However, InterPARES cannot guarantee their availability when pointing users to it. For example, some of the links to policy resources which were identified during the initial stage of this general study have become obsolete already. Except for trusted few resources, InterPARES users must be directed to policy resources that it controls.

Objective four:

Provide a solid foundation and guidance for other InterPARES case studies to build upon in developing tailored policy and procedures for test-beds, thus avoiding the daunting task of creating a new digital preservation policy from scratch.

Observation: The policy templates from this general study provide required elements to be incorporated in other policy case studies.

The policy templates are an authoritative and a reliable resource to guide InterPARES policy studies without reinventing the wheel. However, the templates should by no means replace previous InterPARES requirements for policy case studies since test-beds may have their own organizational policy structure, regulatory, or legal needs.

Other finding:

1. Most policies do not differentiate between policy and procedure. The InterPARES Project defines policy as: "A formal statement of direction or guidance as to how an organization will carry out its mandate, functions or activities, motivated by determined interests or programs." [10] Procedure is defined as: "In general, the body of written and unwritten rules governing the conduct of a transaction, or the formal steps undertaken in carrying out a transaction." Polices are high-level statements that authorize and guide programs and

Preston, eds. (Padova, Italy: Associazione Nazionale Archivistica Italiana, 2008). http://www.interpares.org/display_file.cfm?doc=ip2_book_part_7_policy_task_force.pdf.

[10] Luciana Duranti et al., "Part Four – An Intellectual Framework for Policies, Strategies, and Standards: Strategy Task Force Report," note 1, in *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*, Luciana Duranti, ed. (San Miniato, Italy: Archilab, 2005), 118. Online reprint available at http://www.interpares.org/book/interpares_book_g_part4.pdf.

directives. From policy statements, procedures and guidelines should be developed that detail how the policy will be implemented. Although policies should be reviewed periodically, in order to be consistent with changes in the organizational, legal and technical environment they should not be modified as often as procedures. Policies lay out the *why* and *what* while procedure outlines the *how*.

Policy Elements

The Policy Template is available on the InterPARES website at ____ and is located at Appendix __ of this report. The headings or elements contained in the Policy Template are explained further in the template are as follows:

Purpose/Objectives
Scope
Mandate
Policy Statements
Areas of Coverage
Roles and Responsibilities
Definitions
Related Sources
Contact information
Policy Review
Version Control

Procedure Elements

The procedure Template is available on the InterPARES website at ____ and is located at Appendix __ of this report. The headings or elements contained in the Procedure Template are explained further in the template are as follows:

Purpose/Objectives
Scope
Policy Statements
Roles and Responsibilities
Definitions
Related Sources
Contact information
Version Control

Conclusion

In conducting the content analysis of existing policies and procedures for digital records, it became clear that for many organizations, the difference between policy and procedure is not explicit. Many of the policies analyzed by the GRAs included procedural elements.

The policy and procedure templates created by GS11 include elements that enable policy and procedural documents to be authoritative. These templates accomplish this by tying a policy or procedure to the mission and mandate of an organization, as well as to the mandate of the department issuing the policy or procedure. Moreover, it is essential to reference relevant legislation and standards that the policy or procedure enacts, or place constraints on the policy or procedure (examples include privacy legislation and technological standards. The templates include information regarding the approval process for policies and procedures (which indicate that the policy and procedure has been signed off by the appropriate individuals, including those in upper management). Finally, the templates enable policy and procedural documents to be authoritative by including a version control statement (which ensures that staff members are adhering to the most current version of the policy or procedure).

In order to be useful, the templates must also be user-friendly and provide definitions, especially those are domain-specific or terms that have different meanings in different domains. They should also include links to related policies, procedures and forms; and provide contact information for the department or individual responsible for writing, dissemination and enforcing the policy or procedure.

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Appendix A: Policy Template

Introduction

The following template identifies content that should be included in policies. Each heading presented includes rationale for inclusion and an illustrative example taken from policies developed in InterPARES 3 case studies.

The sections and headings specified were drawn from: 1) existing policy templates available on the Internet; and 2) policies that have been developed to-date by InterPARES 3 case studies.

This template is not meant to prescribe specific heading titles and order for writing policies. Rather, it describes content that should be included in policies, with suggested titles based on the content of each section.

Purpose/Objectives

Each policy should have an introductory section that aligns the goals and objectives of the policy with the goals and objectives of the organization. Thus, the policy should reflect the organization's mission and mandate. Policies regarding the creation, maintenance and/or preservation of digital records should address issues of record reliability, accuracy and authenticity.

Example 1. cIRcle: University of British Columbia Digital Repository, Digital Preservation Policy.

The purpose of the cIRcle Digital Preservation Policy is to make certain that action is taken to ensure the long-term preservation of the digital content in cIRcle. This policy acts as an authoritative guide for the long-term preservation of cIRcle's contents and provides a framework to guide preservation practices.

Example 2. British Columbia Institute of Technology (BCIT), Digital Preservation Policy.

The goals of this policy are to act as an authoritative guide on the long-term preservation of digital records at BCIT and to provide a comprehensive overview of the long-term digital preservation function.

The objectives of this policy are:

- *to support the identification of the significant characteristics of digital records that need to be protected to maintain their accuracy, reliability and authenticity;*
- *to ensure that BCIT digital records creators and custodians are informed of their roles and responsibilities in the creation, maintenance and disposition of digital records identified for long-term and permanent preservation; and*
- *to support the ongoing accessibility and continuing preservation of digital records that will be considered trustworthy for legal, administrative and historical purposes over the long term.*

Scope

The scope section of a policy should indicate:

- The objects (e.g., records, digital objects) that are covered by the policy; and
- The individuals or department(s) covered by the policy.

Example 1. cIRcle, Digital Preservation Policy.
This policy covers all digital objects submitted to cIRcle.

Example 2. BCIT, Digital Preservation Policy.
Who Does This Policy Apply To?

This policy applies to all BCIT employees (including faculty, staff and administrators) and all schools and departments that generate digital records.

Scope of Digital Records Preservation Program

The BCIT policy for digital records preservation provides the institutional framework necessary to carry out the procedures that will ensure such preservation. Based on the infrastructure outlined in the InterPARES 2 Policy Framework, policy and procedures together constitute a Digital Records Preservation Program that encompasses the disposition of all BCIT digital records appraised for long-term maintenance and of those appraised for permanent preservation in the Archives.

Mandate

The mandate of the organization or department issuing the policy should be stated. Including the mandate will indicate that the department issuing the policy has the authority to do so, and, the policy supports the department and/or organization's business needs.

Example 1. cIRcle, Acquisition Policy.
cIRcle is the University of British Columbia's digital repository for research and teaching materials created by the UBC community and its partners. Materials in cIRcle are openly accessible to anyone on the Web, have persistent URLs, and will be preserved for future generations.

Policy Statements

The policy statements will provide high-level guidance on how digital records are created, maintained and preserved. Specific directives on how to implement the policy statement should be drafted in separate procedural or guidance documents, referred to in the policy.

The policy statement should be based on the business needs of the organization, not on the technology used to achieve those needs. As policies are high-level statements, they can be reviewed periodically and amended as business needs evolve. Technology-based solutions, which may be subject to frequent change, should rather be discussed in related procedural and guidance documents.

Example 1. Vancouver School of Theology (VST), Records Management Policy
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.

Areas of Coverage

This section(s) will include guidance statements more specific than the policy statement, relating to aspects of records management (e.g., records creation, retention and disposal, digital preservation). These may be elaborated within a single policy document or be expanded in separate, cross-referenced policy documents.

Example 1. cIRcle, Acquisition Policy.

File Formats

Although cIRcle will accept the submission of nearly all file types, a list of file types for which preservation will be ensured has been generated. These file types are listed in File Format Guidelines (forthcoming).

File types that are not included within this list have been identified as either known or unknown. cIRcle cannot guarantee the preservation of such files, although bit preservation of these files will be ensured.

Copyright and Intellectual Property

cIRcle does not require authors to surrender or transfer their copyright. Authors must hold the copyright or distribution rights to material(s) submitted to cIRcle, and should grant cIRcle permission to make said material freely available in the digital repository, and to act upon for preservation purposes.

Roles and Responsibilities

This section ties the policy into the overall organization structure. It identifies stakeholder groups and assigns responsibility for the development (archivists and/or records managers) and implementation (IT, staff) of the policy which reflect the accountability structure of the institution.

Example 1. VST, Records Management 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," 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.*

Definitions

This section should provide a glossary of domain- or organization-specific terms used in the policy, especially if the use of those terms differs from usage in common English.

Example 1. BCIT, Digital Preservation Policy.
Active Records: Active records are those in current use, meaning that they are referred to at least once a month per records series. They are stored in office areas and on information technology servers that are immediately accessible.

Example 2. cIRcle, Acquisition Policy.
Bit Preservation: Ensuring that the bits comprising a digital object remain the same over time, preventing corruption, data loss and other damage.
Community: Institution, faculty, department or identified group that creates or generates material.

Related Sources

Policies must adhere to relevant national or local legislation and may adhere to relevant standards and best practices. These laws, policies, standards and best practices should be reference in the policy. Identifying relevant legislation, standards and best practices helps to add authority to the policy. When citing related sources, it may be useful to include a statement identifying the purpose of the source and how it relates to the policy.

The policy should also reference related organizational polices.

Example 1. BCIT, Digital Preservation Policy
BCIT Policies:
- *6700, Freedom of Information and Protection of Privacy*
- *6701, Records Management*
- *6702, Archives and Special Collections*

Legislation:
- *BC Evidence Act*
- *BC Freedom of Information and Protection of Privacy Act*
- *Canada Copyright Act*
- *Canadian Patent Act*
- *Canadian Trade-Marks Act*

Guidelines and Standards:
- *Canadian Digital Information Strategy (October 2008)*
- *Electronic Records as Documentary Evidence (CAN/CGSB-72.34-2005)*
- *Canadian General Standards Board Microfilm Standard*

Contact Information

The policy should include a statement identifying the department issuing the policy. It may also include contact information for the department if further guidance or clarification is needed.

Policy Review

Receiving policy approval from senior individual(s) or department(s) indicates that the policy has received their authority. If necessary, receiving policy approval from legal counsel will ensure that the policy adheres to any relevant legislation, such as those regarding records, access to information and privacy.

Policies should be reviewed periodically, to ensure that they continue to function within and support the organization's goals.

This section should contain the following information:

- The individual(s) and/or department(s) responsible for approving the policy;
- Length of time between reviews;
- Date the policy was last reviewed;
- Date the policy was approved by the relevant individual(s) and/or department(s); and
- Date of the next review.

  Example 1. cIRcle, Acquisition Policy.

  This policy is subject to approval by the UBC Library and will be reviewed every three years. As part of the review, all specific references to legislation, policies, or other documents should be updated to reflect the latest iteration of all materials.

Version Control

Each policy should contain version control, to ensure that staff members are following the most up-to-date policies. Information needed to support version control include:

- Version number of the policy;
- Date the policy is effective;
- If policy has been superseded, date policy has been superseded; and
- If policy has been superseded, reference to updated version.

Appendix B: InterPARES Case Studies and Policies Referenced

Case Study 01: British Columbia Institute of Technology (BCIT)

- Digital Preservation Policy

Case Study 15: cIRcle

- Acquisition Policy
- Digital Preservation Policy
- Intellectual Property Policy

Case Study 13: Vancouver School of Theology (VST)

- Records Management Policy

Case Study 14: City of Surrey

- Share Care Toolkit
- Shared Drive Migration Toolkit

Appendix C: Procedure Document Template

Introduction

The following template identifies content that should be included in procedure documents. Each heading presented includes rationale for inclusion.

Procedure documents provide instructions as a best practice guide on how to implement a policy and should include sections on: Purpose/Objective, Scope, Procedural Statements, Roles and Responsibilities, Definitions, Related Sources, Contact Information and Version Control. Procedure documents should be expected to undergo revision more frequently than policy documents, as they are adapted to reflect changes in technology, feedback form implementers and other factors. Procedure documents must be viewed as implementation tools that are helpful for executing a policy.

Digital records management and preservation procedures should:

- Ensure digital components of records can be separately maintained and reassembled over time;
- Link business procedures to documentation procedures and the classification system in which the body of records operates to ensure that records creation and management adhere to internal standards and guidelines;
- Facilitate constant interaction between stakeholders, including the records creator, records managers, IT and the designated preserver;
- Require detailed documentation of all business functions and processes contributing to the creation and use of the same records in any records creator's application or system; and
- An explicit linkage between each individual record and its related workflow.[11]

The sections and headings specified were drawn from: 1) existing procedure templates available on the Internet; and 2) policies that have been developed to-date by InterPARES 3 case studies.

This template is not meant to prescribe specific heading titles and order for writing a procedure. Rather, it describes content that should be included in a procedure, with suggested titles based on the content of each section.

[11] Duranti, Luciana, Jim Suderman and Malcolm Todd, "Appendix 19: A Framework of Principles for the Development of Policies, Strategies and Standards for the Long-term Preservation of Digital Records," [electronic version] in *International Research on Permanent Authentic Records in Electronic Systems (InterPARES) 2: Experiential, Interactive and Dynamic Records*, Luciana Duranti and Randy Preston, eds. (Padova, Italy: Associazione Nazionale Archivistica Italiana, 2008).
http://www.interpares.org/display_file.cfm?doc=ip2_book_appe ndix_19.pdf

Purpose/Objectives

Each procedure should have an introductory section that aligns the goals and objectives of the procedure with the goals and objectives of the policies they are designed to implement. The link between the procedure and the relevant policy should be made explicit.

> ***Example 1. British Columbia Institute of Technology. Digital Records Preservation Guidelines.***
> *These procedures apply directly to Records Management Policy 6701, and Archives Management Policy 6702, and Records Management Procedures 6701-PR 1. This set of procedures guide the activities of the Records Manager/Archivist, records administrators and custodians, and records creators to ensure that digital records are created and maintained according to the Directory of Records, and in such a way that their authenticity and reliability may be preserved over the long term.*

Scope

The scope section of a procedure document should indicate:

- The objects (e.g., records, digital objects) that are covered by the procedure; and
- The individuals or department(s) covered by the procedure.

> ***Example 1. University of Victoria. Guidelines on E-mail Management.***
> *These guidelines apply to all University of Victoria employees who create, manage, and save e-mails as part of their daily tasks and routines.*

Procedural Statements

The procedural statements consist of guidelines or instructions on how to carry out activities necessary to support the policy. Procedural statements should be simple and easy to understand and may take the form of bulleted lists, step-by-step instructions, checklists, etc. They should reflect best practice and indicate the manner in which technology and tools are used throughout the procedure. If necessary, workflows, diagrams and other graphic elements may be embedded within the procedural statements, or attached to the procedure document as an appendix.

> ***Example 1. University of Victoria. Guidelines on E-mail Management.***
> *University employees have a responsibility to create and keep records that adequately record the University's activities. Each employee will need to keep e-mails for a certain length of time. This length of time will depend on the content of the e-mail. Many e-mail messages may be transitory records, which are only required for a limited period of time for the completion of an action, the preparation of an ongoing record, or are purely for informational purposes.*
>
> *In order to help determine whether an e-mail needs to be retained in the long term, the following questions should be considered:*

Could the e-mail be used as evidence of an action or a decision about an individual, a program, project, etc.?
Does the e-mail contain information that will be used as a basis for future decisions?
Does the e-mail require or authorize an important course of action?
Does the e-mail approve formal policy or set a precedent?
Does the e-mail detail any obligations or responsibilities of the university?
Does the e-mail protect the rights or assets of the University or its stakeholders?

If the answer to any of these questions is 'yes,' the e-mail and its attachments should be kept. Not all e-mail messages will require long-term retention. Employees should consult the Directory of Records (see below for more information) to determine how long these messages need to be retained for legal purposes.

If the answer to all of these questions is 'no,' then the e-mail is transitory and should be deleted as soon as it is no longer useful (see section 5.3 of the "Responsible Use for Information Technology Services" policy). Most likely, these records include meeting arrangements, information about upcoming events, working drafts, holiday notices, and listserv messages, to name a few examples.

Roles and Responsibilities

This section ties the procedure into the overall organization structure. It identifies stakeholder groups and assigns responsibility for the development (archivists and/or records managers) and implementation (IT, staff) of the procedure.

Example 1. Vancouver School of Theology. Records Procedures.
Responsibilities:
Director—Records Management and Privacy (or designate)

- *Conduct business analyses to determine the requirements for managing VST's digital records.*
- *Work with the IT Director to select hardware, software and file formats that offer the best likelihood of interoperability and continuing accessibility over time.*
- *Review business requirements when upgrades, changes to existing records creation and recordkeeping software or new products are introduced.*
- *Review on a regular basis records creation and recordkeeping software technology requirements to ensure timely migration for long-term preservation.*
- *Document all records creation and recordkeeping software in use, identifying file formats and versions, and any customizations that are made.*
- *Approve and standardize file formats and documentary forms in use.*
- *Develop minimum required metadata schema that will provide for the identity and integrity of records.*
- *Advise employees of access to information and privacy protection responsibilities under all applicable legislation, policies, rules and guidelines identified in the VST Records Management Policy that are present throughout the lifecycle of the digital records.*
- *Identify file formats and documentary forms required depending on business purpose or activity.*

- *Document all records creation and recordkeeping software in use, identifying file formats and versions, and any customizations that are made.*
- *Ensure a rigorous, regular and standardized system of backups including operating systems and technology identification.*
- *Develop retention schedules and link these to the classification scheme for backed up data.*
- *Ensure backups are securely stored offsite.*
- *Ensure final versions of documents located on the shared drive are protected from unauthorized alteration.*

Definitions

This section should provide a glossary of domain- or organization-specific terms used in the procedure, especially if the use of those terms differs from usage in common English.

> ***Example 1. University of Victoria. Guidelines on E-mail Management.***
> *Electronic Message: document created or received via an electronic message system, including brief notes, formal or substantive narrative documents, and any attachments, such as word processing or other electronic objects, that may be transmitted with the message along with its descriptive transmission metadata.*
>
> *Record: document made or received in the course of a practical activity as an instrument or a by-product of such activity, and set aside for action or reference.*

Related Sources

Procedure documents should refer to specific legislation or standards that impact the design or implementation of the procedure document. If desired, an explanation of the legislation or standard and its impact on the procedure may be included.

Procedures are designed to implement policy. If the link between the procedure and related policies are not made explicit elsewhere in the procedure document, they should be listed here, with an explanation of how the procedure outlined aids the implementation of policy.

The procedure document should also refer to any forms or templates required to implement the procedure.

> ***Example 1. University of Victoria. Guidelines on E-mail Management.***
> *UVic has developed policies addressing how the university upholds its responsibilities for privacy and defines acceptable use of information technology services by university staff, students, and faculty. The guidelines presented here should be considered within the context of these policies and UVic employees have a responsibility to familiarize themselves with their provisions.*
>
> *Policy 6030: Responsible Use for Information Technology Services*
> *(http://web.uvic.ca/univsec/pol_pro/pol-6000/6030CTUR.html)*
> *This policy regulates the use of university information technology services and includes a section that specifically addresses the use of e-mail. Therein, e-mails are defined as university records subject to the Freedom of Information and Protection of Privacy Act. As such, they cannot be deleted when a request for information has been initiated. It*

should also be noted that the University reserves the right to access e-mail records which have not only been deleted by an employee but which have been preserved centrally, for the purposes of recovering evidence while investigating allegations of serious employee misconduct and managing actual or potential civil litigation in which the University is or may become a party.

Policy GV0235: Protection of Privacy Policy
(http://web.uvic.ca/univsec/pol_pro/ProtectionofPrivacyPolicy.htm)
This policy articulates how the university complies with the privacy components of the BC Freedom of Information and Protection of Privacy Act. Of particular note is the definition of employee responsibilities to protect personal information, which includes personal information contained in e-mails.

Contact Information

The procedure document should include a statement identifying the department issuing the procedure. It may also include contact information for the department if further guidance or clarification is needed.

Example 1. University of Victoria. Guidelines on E-mail Management.
Archives and Records Management staff are available to visit your office to discuss records management. We are located in McPherson Library/Mearns Centre.

Lara Wilson, University Archivist
(250) 472-4480 / ljwilson@uvic.ca

Jane Morrison, Associate Archivist (Records, Access and Privacy)
(250) 721-8258 / jmorriso@uvic.ca

Version Control

Each procedure document should contain version control, to ensure that staff members are following the most up-to-date procedures. Procedure documents may be modified to reflect changes in policy, technology, tools and organizational culture, as well as new legislation and standards. Internal and external reviews of procedures should also be reflected in the Version Control section. Reviews make take the form of audits, internal feedback or stakeholder evaluations. The Version Control section should outline when the procedure will undergo regular review and should reflect the purpose, date, frequency and authority under which the audit was conducted.

Information needed to support version control include:

- Version number of the procedure document;
- Date the procedure document is effective;
- Frequency of scheduled reviews;
- If procedure document has been superseded, date procedure document has been superseded; and
- If procedure document has been superseded, reference to updated version.

Appendix D: InterPARES Case Studies and Procedure Documents Referenced

Case Study 01: British Columbia Institute of Technology (BCIT)

- Digital Records Preservation Guidelines

Case Study 10(c): University of Victoria

- Guidelines on E-mail Management

Case Study 13: Vancouver School of Theology (VST)

- Records Classification Scheme and Draft Records Management Policy Procedures

Case Study 14: City of Surrey

- Share Care Toolkit
- Shared Drive Migration Toolkit