Industry Canada

MANAGING INFORMATION

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RECORDS MANAGEMENT GUIDELINES FOR DEPARTING EMPLOYEES

For Industry Canada Employees

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Corporate Integrated Records Services (CIRS)
Information Management Branch (IMB)

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ACKNOWLEDGEMENT

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The Purpose of these Guidelines

These guidelines have been developed to help managers meet their obligation to ensure good records management practices are followed when their employees leave or change positions within the Department.

While managers are primarily responsible for their application, successfully addressing the challenges associated with staff turnover requires managers and employees to work together. Therefore, these guidelines include ***Instructions for Departing Employees*** *as well as* ***Instructions for Managers****.*

Successfully Managing information – An Integral Part of our Work

At Industry Canada creating, using and managing records is an integral part of our work. Our continued effectiveness depends on being able to find and retrieve the latest, most reliable and complete information when we need it.

It makes good business sense, then, to manage information well – all the time – so that we preserve its ongoing value. In fact, regularly applying good information management (IM) practices as part of our day-to-day work routine not only helps us to work better now, it can also help to minimize the stress often associated with changing or leaving a job.

Departing Employees Play an Important Role

Will you be leaving your current position at Industry Canada? If so, you will need to take appropriate steps to ensure that corporate records continue to be available to your colleagues and other authorized Industry Canada (IC) employees. You will also need to take steps to dispose of information that is no longer needed. After all, you are in the best position to understand what information needs to be kept by your business unit and what information can be safely destroyed or deleted. This is not a responsibility that can or should be left for your successor and colleagues as it is more time consuming for others to sort through and organize your paper and electronic files.

Departing employees play a critical role in managing the Department's information assets. Failing to capture, organize and assign custodianship of the information that has been under your care can result in significant loss of IC's corporate memory. Consider the consequences:

- Information that is needed to support decision making is often rendered inaccessible.
- Remaining co-workers may not be able to find the information they need to do their job.
- The Department's ability to respond to requests made under Access to Information and Privacy legislation can be compromised.
- Scarce resources are wasted in recreating or retrieving lost information.
- The accuracy of Industry Canada's recorded information is compromised.
- The Department may be unable to meet its accountability requirements.

How we maintain our records on a day-to-day basis determines not only how smoothly we transition into and out of different work assignments, it also ensures that our colleagues and successors can continue to work effectively. Additionally, it demonstrates our professionalism and helps to preserve the record of our work achievements and contributions at Industry Canada.

These guidelines outline a five-step records clean-up procedure designed to help all Industry Canada employees demonstrate their accountability for managing the IC records in their custody during the employee departure process.

Who Should Read These Guidelines?

These guidelines are addressed to departing employees and their managers. You are considered to be a 'departing employee' if you plan to:

- Leave your job permanently (e.g. as a result of retirement, resignation, or transfer to another department).
- Leave your job temporarily – for a period of four months or more (e.g. on parental leave, language training, etc.).
- Change positions within the Department.

***Note**: These procedures also apply to temporary employees and to contractors.*

Some Key Definitions	
Employee	For the purpose of these guidelines, an employee is any individual in the temporary or permanent employment of Industry Canada including students, term and casual employees.
Transitory Records	Records that are required only for a limited time to ensure the completion of a routine action or the preparation of a subsequent record. Transitory records do not include records required by government institutions or Ministers to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities of the government.
Corporate Records	Information that is produced or received to initiate, conduct or complete an institutional (departmental) or individual activity related to Industry Canada business or program matters. These records must include the information elements (content, context and structure) required to provide sufficient evidence of that activity regardless of the form or medium. Corporate Records may be found in working files and official files.
Working Files	Files that should contain only copies of records, drafts and reference material. They are intended for convenience and quick reference purposes, primarily in instances when the official file is not on site. Working files should not replace the official departmental files and must be disposed of regularly, but only after making sure that any corporate records have already been transferred to the official file.
Official Files	Files that are created by an IC Records Office to satisfy business unit and departmental needs. They are indexed according to the Department's classification system, placed into official Government of Canada file folders and are registered in the Department's Automated Record Keeping System (for paper records). They are often signed out on long-term loan to accountable IC business units.
Personal Documents	Records (in any format) belonging to an individual that do not relate to any mandated Industry Canada business activity. They relate solely to an individual's personal matters or are used exclusively for that individual's convenience. Personal documents must be clearly designated as such and kept separate from government records.

Managing Information – Instructions for Departing Employees

As soon as you know that you will be leaving, you will need to initiate a five-step records clean-up process. You will be responsible for ensuring that all information in your custody – in all media – is cleaned up, organized and transferred to the appropriate individual(s) prior to your departure, and for demonstrating to your manager that you have done so.

You can visit the IMB web site at: http://icweb.ic.gc.ca/imb-dggi to identify your Records Management Service Provider or contact CIRS by e-mail at Records Management @ IC.

Records Clean-up – A Five-Step Process

The records clean-up process consists of these five steps:

Step 1 – Remove personal documents and delete transitory records.

Step 2 – Organize remaining corporate records.

Step 3 – Transfer corporate records and other relevant materials.

Step 4 – Obtain approval to copy IC records.

Step 5 – Complete the Departing Employee Checklist (Appendix A).

Step 1 – Remove Personal Documents and Delete Transitory Records

1. Remove personal documents from all IC equipment and premises, including those kept on personal and shared drives, in file cabinets and/or in other storage areas, as this type of information does not relate to any mandated IC business activity.

   Note: *Personal information stored on government-owned equipment may become subject to formal requests made under Access to Information and Privacy (ATIP) legislation.*

2. Delete and/or dispose of any transitory records contained in file folders and/or on personal or shared drives. See **Appendix B: What to Keep and What not to Keep** for examples of transitory records.

   Note: *DO NOT dispose of any transitory records that are required for an active Access to Information or Privacy (ATIP) request or that are related to any litigation or official investigation. These records MUST be kept.*

Once this first step has been completed, only corporate records should remain.

Step 2 – Organize Remaining Corporate Records

Once you have properly disposed of personal documents and transitory records, ensure that all remaining corporate records – in both paper and electronic format – are organized and stored in a location where they can be easily accessed and retrieved by authorized users.

Follow these steps to help organize remaining corporate records:

1. Review the contents of your file cabinets and desk drawers. Segregate and organize the paper records into two groups, those that need to be filed in an official departmental file and those that can be kept in a working file.

2. Organize the documents into file folders by related subject or activity.

3. Identify any official files that are no longer needed by the business unit as well as any folders that need to be retained as official files and incorporated into the official record keeping system.

4. Review and identify any electronic records of corporate value that may be stored in the following locations to ensure they continue to be accessible to those who need them:

   - Email and PST folders
   - Your computer's hard drive
   - Any personal network directories
   - Diskettes, CDs and other removable media
   - Laptops
   - BlackBerry and other handheld devices
   - Home PCs

This process will facilitate the transfer of corporate records to an accountable individual within your work area or to your records management service provider. See **Step 3 – Transfer Corporate Records and Published Material**.

Some additional steps may be required when organizing protected and classified records.

Organizing Protected and Classified Records

Protected or classified records must be handled in accordance with departmental security guidelines, as outlined in "A Guide to the Handling, Storage and Destruction of Protected and Classified Information".

If you have been responsible for the custody of protected or classified records, prior to your departure you must:

- Decrypt any electronic information that is currently held in encrypted form, clearly designating and identifying the appropriate level of security pertaining to those records.

- Review the records to determine if they should be declassified or if their security classification should be downgraded.

Note the instructions included in Step 3 if you must transfer protected or classified records.

Step 3 – Transfer Corporate Records and Published Material

Once corporate records have been organized, the responsibility for their ongoing management must be transferred to an accountable individual or office, as directed by your manager. In addition, you will need to return published information to the appropriate Industry Canada library.

Transferring Protected and Classified Records

Protected or Classified records – in paper or electronic format – may be transferred to the care of an accountable individual within your work area, provided they have the appropriate security clearance. Alternatively, you can transfer the records to your manager or to your records management service provider. Seek your manager's advice before transferring these records.

To transfer records:

1. Return **official files** to your records management service provider or notify them if you are transferring custody of the files to another employee.
2. Arrange for the creation of new official files, if required, by contacting your RM service provider.
3. Transfer **electronic corporate records** to the business unit's electronic repository (i.e. to a shared drive area or to an Electronic Document and Records Management System). This ensures they can be accessed by those who will have an ongoing need for the records.

   Note the above instructions for "**Transferring Protected and Classified Records**".
4. Transfer responsibility for all **paper working files** to an accountable individual within your work unit.
5. Return all **departmental publications** or inter-library loans to the Library and Knowledge Centre (LKC) if you are within the National Capital Region; otherwise return them to the appropriate regional library.
6. Request the LKC to remove your name from any routing lists and/or to have your database accounts deactivated (e.g. Factiva, CEDROM, NewsDesk, etc.).

Step 4 – Obtain Approval to Copy IC Records

All documents that are created and collected during your employment with the Department, with the exception of those of a personal nature, belong to Industry Canada.

Prior to your departure, however, you may wish to take copies of information that you have developed or worked on during your employment with Industry Canada. If so, you must follow this procedure:

1. Identify the information you wish to take with you.
2. Present the list to your manager.
3. Request your manager's approval (this can be in the form of an email).
4. Copy the approved documents to your own CD, DVD or USB Drive.

Step 5 – Complete the Departing Employee Checklist

Employee:

1. Complete the **Departing Employee Checklist (Appendix A)** to confirm that all of the necessary steps have been taken to clean-up, organize, transfer and request approval to copy records. Then, sign and date the form.

2. Arrange for the form to be approved and signed by your manager.

3. Attach a copy of the signed form to the departmental Employee Departure Process Form (IC 1027).

   ***Note**: Form IC 1027 is to be completed by Industry Canada employees only.*

Responsibility Centre Manager:

4. Verify that the **Departing Employee Checklist** has been properly completed and signed, prior to signing Part II of the **Employee Departure Process Form (IC 1027)**.

Managing Information – Instructions for Managers

Managers are responsible for overseeing and ensuring their employees comply with departmental records management procedures when they leave Industry Canada or change positions within the Department.

If you are a manager, you are responsible for:

- Ensuring the Department retains all official records that were previously under the care of the departing employee.
- Verifying that the departing employee follows the five-step process outlined in the previous section.
- Ensuring the Chief Informatics Office (CIO) is advised of the employee's departure, so that the appropriate accounts can be deactivated (e.g. email, shared drives, etc.).

The process you will undertake to ensure that employees follow these steps will depend on whether the employee's departure is anticipated or sudden (unanticipated).

Anticipated Employee Departures

When a departure is anticipated, both you and your employee should work together to ensure a smooth transition and that all records management requirements are met. The following guidelines will assist you:

1. When you first learn that an employee will be leaving, meet with the employee well in advance of their departure to review the records clean-up process. See **Managing Information – Instructions for Departing Employees**, Records Clean-up – A Five-Step Process.

At this stage, it will be important to:

- Discuss the employee's responsibility for managing and organizing the information in their custody.
- Identify a custodian to whom any files (still relevant to the business unit) can be transferred.
- Obtain a list of the employee's email, shared drive and other on-line accounts so that arrangements can be made through the Chief Informatics Office (CIO) to deactivate the appropriate accounts.

2. Use the **Departing Employee Checklist (Appendix A)** to help plan for and oversee the clean-up and transfer of records.

3. Confirm the process for copying any corporate records that the employee wishes to take with them. See **Step 4 – Obtain Approval to Copy IC Records**.

4. Conduct the exit interview with the employee. At this time:
   - Confirm the arrangements that have been made for organizing and accessing the hard copy and electronic records that are of continuing value to the business unit.
   - Approve and sign the **Departing Employee Checklist**.

Sudden or Unanticipated Departures

In the case of a sudden or unanticipated employee departure (e.g. extended illness or other unforeseen event), the employee is unable to organize, file and clean-up the records for which they were responsible. Therefore, the primary responsibility rests with the employee's manager.

The following process will help you to manage the records clean-up process in the employee's absence:

1. Obtain a list of the employee's email and other on-line accounts.

2. Contact the Chief Informatics Office (CIO) to provide you or a delegated staff member access to the employee's electronic records that may be on shared or personal drives, their email account and to other applicable on-line accounts, if needed.

3. Assign responsibility to a knowledgeable staff member to clean-up and organize the employee's records. See **Managing Information – Instructions for Departing Employees**, Records Clean-up – A Five-Step Process.

4. Arrange for the records to be transferred to another employee, who will become the new records custodian.

5. Make arrangements through the Chief Informatics Office (CIO) to temporarily or permanently deactivate the former employee's accounts.

Roles and Responsibilities – An Overview

Role:	Responsibility:
Departing Employees	Clean-up all information within your personal work space by: ▪ Removing personal documents and deleting transitory records ▪ Organizing remaining corporate records ▪ Transferring corporate records and relevant materials to an accountable individual (as designated by the manager) ▪ Obtaining approval to copy and take selected IC records ▪ Completing the **Departing Employee Checklist (Appendix A)**
Managers	Oversee and support good IM practices during the employee departure process by: ▪ Ensuring employees follow the records clean-up guidelines outlined within this document ▪ Ensuring the Department retains all official records that were previously under the care of the departing employee ▪ Authorizing the removal of any copies of corporate records that departing employees wish to take with them ▪ Identifying the new records custodian (e.g. a supervisor or other employee within the business unit) ▪ Ensuring the CIO is advised of the employee's departure so that accounts can be deactivated and/or new access rights can be granted
Records Management Service Provider	Provides advice and guidance to departing employees and their managers by confirming procedures associated with: ▪ Cleaning-up and organizing records ▪ Handling protected and classified information ▪ The authorized transfer and/or disposal of corporate records
Chief Informatics Office (CIO)	Acts as the point of contact for: ▪ Deactivating the accounts of departing employees or those on extended leave ▪ Providing an authorized individual with access rights to the accounts of an employee who has left the department (especially in the case of sudden or unanticipated departures)

Need More Information?

Refer to the following references for additional guidance on capturing, organizing, retaining and disposing of corporate records.

Policies

Industry Canada Records Management Policy

Industry Canada Security Policy

Guidelines

Records Disposal Primer

A Guide to the Handling, Storage and Destruction of Protected and Classified Information

Websites

Information Management Branch

Security Services

CIO Branch

Forms

Employee Departure Process Form (IC 1027)

Contact us

Corporate Integrated Records Services (CIRS), Information Management Branch is available to answer any questions you may have or to provide advice to help you in implementing these guidelines.

Contact CIRS by email at Records Management @ IC or visit the IMB web site at http://icweb.ic.gc.ca/imb-dggi.

APPENDIX A

Departing Employee Checklist

Name of Employee: ____________________________________

This will confirm that:

- ☐ All corporate records under my control (regardless of media) have been identified, organized, stored and transferred either to the records management service provider or to an accountable individual designated by my manager
- ☐ All transitory information, personal documents and reference materials, having no further value to the organization, have been deleted
- ☐ All library materials have been returned and the LKC has been advised to remove my name from routing lists and/or electronic resources

RECORDS AND PUBLISHED MATERIAL:

- ☐ The contents of all file cabinets and desk drawers have been examined and all personal and transitory documents (no longer required) have been removed or deleted
- ☐ All official files on long-term loan have been returned to the records office or transferred to an accountable individual within the work unit and the records office has been notified of the transfer
- ☐ All working files (containing corporate paper records) that are no longer needed by the work unit have been listed, boxed and sent to the records management service provider for inclusion in the Automated Record Keeping System (for paper files)
- ☐ Working files of ongoing business value to the organization have been transferred to an accountable individual within the work unit
- ☐ Relevant reference material / publications have been made available to the work unit and/or offered to the library
- ☐ All protected / classified records have been decrypted, declassified or downgraded (as appropriate) and transferred to the records management service provider or to a designated individual or supervisor
- ☐ All electronic corporate records have been transferred to the business unit's electronic repository, i.e. shared drive, Electronic Document and Records Management System (EDRMS)
- ☐ Custodianship of EDRMS files have been transferred to an accountable individual
- ☐ Email PST (Archive) folders have been backed up to CD/DVD, with password provided where necessary
- ☐ Appropriate authorization has been received for any copies of corporate records that the employee wishes to take with them

OFFICE:

- ☐ Keys to office/cabinets returned
- ☐ Lock combinations
- ☐ Workspace cleaned
- ☐ Voice mail password reset to 636363

____________________	____________________
Employee	Date
____________________	____________________
Manager	Date

APPENDIX B

What to Keep and What not to Keep

Transitory records are records that have short-term value and are, therefore, only needed for a limited time to complete a routine action or to prepare a subsequent record. Once they have outlived their usefulness, they should be appropriately disposed – whenever possible.

Corporate records document our day-to-day business activities and decision-making processes. They have longer-term value to the Department and must be kept for a pre-determined period of time based on legal, fiscal, legislative or historical requirements.

Use the following chart to help you identify and manage both corporate and transitory records.

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MANAGING INFORMATION

It's Everyone's Business

What to Keep (*Corporate Records*)

✓ Information which is still useful for decision making, program operations or service delivery ✓ Final versions of briefings, background notes and talking points ✓ Official reports ✓ Final versions of instructions, statements, speeches ✓ Email accounting for business activities of the Department ✓ Web material not captured elsewhere	✓ Documents involving financial and legal matters ✓ Documents containing annotations which provide evidence of decisions related to a business activity of the Department ✓ Documents that record how or why decisions or actions were taken ✓ Significant drafts of agreements or policy documents ✓ Any document that should be part of the Department's corporate memory

What NOT to Keep (*Transitory Records*)

✗ Personal documents, such as résumés and casual communications ✗ Initial drafts not communicated outside the creating office ✗ Email messages used for casual communications ✗ Annotated drafts where annotations become a part of a subsequent version, and are not evidence of decisions related to the evolution of the final document	✗ Copies for reference/information or convenience only ✗ Electronic documents used to produce a hard copy which is maintained in the hard copy files ✗ Copies of publications ✗ Documents that no longer have corporate, legal or archival value

Important: *You cannot delete or dispose of any records (transitory or corporate) required for an active ATIP request, litigation, or official investigation* ***(For more information:*** http://icweb.ic.gc.ca/imb-dggi)

What to Keep.......

A Guide to Managing Your Information

Canada