

Policy Title: UCW Records Management Policy

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Approval Body:	Academic Council	Revise Date:	26 Jan 2012
Effective Date:	Draft to Academic Council - 26 Jan 2011	Review Date:	February 2013 May 15, 2013

Policy Statement

University Canada West is committed to creating, maintaining, and destroying records in accordance with regulatory and legislative requirements and industry standards.

Purpose

- The purpose of UCW's Records Management Policy is to ensure responsible management of University records and record-keeping systems as valuable resources and assets.
- To establish a University-wide records management program covering the retention, maintenance, and disposal of all university records.
- To preserve evidence of the University's activities in all formats.
- To support accountability, and promote efficiency and economy.
- Provide Records Management education and training to all UCW personnel.

Scope

- The policy requires that the program be applied consistently across the University by all University personnel.
- The policy applies to all transactions and the records created or received in the course of carrying out all the administrative work of the University and all its transactions and business activities. (The policy does not cover the documents and data, or personal communications created or acquired by Faculty members, or other officers or employees in the course of their preparations for teaching, research, and in all aspects of their personal activities.)
- This policy applies to the creation, receipt, use, handling, maintenance, storage, and disposition of all records.
- The policy covers records in all media and formats, including but not limited to paper, electronic documents and files, e-mail, photographs, film, audio and video-tapes, drawings etc.

(While this policy applies to all records including records in e-mail format a more detailed guidelines for the management of e-mail will be made available separately).

Definitions

These definitions apply to terms as they are used in this policy.

Word/Term	Definition
University records	Are those documents, data or recorded information in all media and formats created, received, and maintained as evidence and information in the administration of the activities of the University.
Non-record material	Are those documents, data or information in all media and formats created, received as a result of personal activities. These may be works created as a result of intellectual or artistic activity and acquired in preparation for teaching and in the course of research (unless created under specific contract with the University that indicates otherwise) and they are the intellectual properties of the Faculty and are not University record.

Active records	Are those records that are created or received in the course of University work or activities and are in frequent use. These remain under the custody, responsibility, and control of the unit of the University that generates and maintains these records.
Semi-active records	Are those records used less frequently but where the ownership remains with the University department or unit even when the records are transferred to the University Archives or other storage facilities.
Inactive records	Are those records no longer needed for University activities. These may be destroyed or if they are appraised as being records of permanent value they may be transferred to the University Archives. Custody, responsibility, and control of permanent records of value are transferred to the University Archives.
ISO	International Organization for Standardization
DoD	Department of Defense

Related legislation

- *Freedom of Information and Protection of Privacy Act* (RSBC1996.c.165)
- Personal Information Protection and Electronic Documents Act (PIPEDA)
- Personal Information Protection Act (British Columbia) (PIPA)
- Canada Revenue Agency
- Degree Authorization Act
- Privacy Act
- Department of Defence Standards (DoD 5015.2)
- ISO 15489

Related policies

Policy Number	Policy Title
TBD	UCW Retention Schedule Policy – under development
6751	Information Privacy and Security

Responsibility

All University personal are responsible for applying adopted and sound records management principles and practices. The Information & Technology Department, that supports UCW, must adhere to the electronic security, privacy, and storage requirements as outlined by the appropriate legislation.

PRINCIPLES

University Canada West's Records Management Program is based on the following principles:

Principle 1: All University records, regardless of their format or location, are the property of the University.

Principle 2: Good records management practice is essential in creating, capturing, using, and disposing of the information required for an organization to fulfill its obligations and meet the expectations of its stakeholders.

Principle 3: The UCW Records Management Policy, program, and practice will be based on current professional standards and best practices.

Principle 4: Records in all formats created and received as evidence of University activities will be captured as records and maintained in all processes and systems.

Principle 5: Responsibility for capturing and maintaining records rests with the organization as a whole and with individuals within the organization.

Principle 6: The context and structure of records will be managed in any University record-keeping system, in order to maintain record security, reliability, and authenticity.

Principle 7: The appropriate use and re-use of information contained within records will be guided by records management policy and procedures and any current legislation.

Principle 8: Retention of records will be scheduled and authorized so that they are retained only for as long as they are needed.

Principle 9: Records will be protected from inappropriate access, alteration, and usage.

Principle 10: University records of archival value will be preserved and access provided where restrictions do not apply.

Principle 11: Personal information contained in University records will be created, used, maintained, and disposed of in an appropriate and legal manner.

Principle 12: University records, being the property of the University, may not be removed from its control or destroyed except under the authority of this policy.

STATEMENT OF BENEFITS

A UCW's university-wide records management program will provide a broad range of benefits to the University as a whole and to each individual department and unit. These benefits range from litigation risk management, staff time and cost benefits, convenience in retrieval of information, and informed decision making.

The UCW's Records Management Program:

- Supports the accountability of the University to all its stakeholders.
- Reduces space and costs required for storage for obsolete records.
- Meets legislative and regulatory requirements.
- Reduces the risks that occur when the retention and destruction of records are not controlled by the application of an approved retention schedule and destroyed with appropriate authorizations.
- Provides protection and support in litigation, and manages risks associated with the existence or lack of evidence of University activity.
- Protects the rights of employees, and students in the management of personal information.
- Provides continuity in event of disaster
- Ensures services are delivered in a consistent and equitable manner.
- Provides accurate and current information in a timely manner for support in decision-making.
- Preservation of the corporate memory of the University.

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The University's records management program will establish a University-wide record-keeping system and practice that:

- Ensures control over the creation, maintenance, and disposal of university records through record classification plans and retention schedules.
- Ensures the availability of evidential, accurate, current, unaltered, authentic, and reliable University records in all formats to support all University work and functions for as long as they are required.
- Ensures all record-keeping and retention at the University is consistent with the regulatory environment.
- Ensures that record-keeping at the University is consistent with professional and legal standards.
- Offers records management training and advisory services for all University personnel.
- Develops and reviews policy, procedures, and roles for records management at UCW.
- Establishes institutional requirements and resources for control and care of records at the University.
- Ensures the proper disposition of University record, carried out in accordance with University policy, and maintains auditable documentation.
- Ensures care and control of University records in storage within the University.
- Ensures compliance to policy and practice through monitoring procedures.