

Original Approval Date: March 14, 2014

## Records Management Policy

<b>Office of Accountability:</b>	Office of the Vice-President (Finance and Administration)
<b>Office of Administrative Responsibility:</b>	Records Management Office
<b>Approver:</b>	Board of Governors
<b>Scope:</b>	Compliance with this University policy extends to all employees, including contracted staff, of the University of Alberta who create, receive or maintain records in the course of conducting the business of the University.

### Overview

The University of Alberta (the University) is responsible for the management of its **records** regardless of media. By practicing strong stewardship and managing its records from the time of capture to final disposition, the University promotes institutional transparency, openness, accountability and excellence in scholarship and knowledge dissemination.

The Policy and its associated Procedures apply to all **university records** created, received or collected, maintained and disposed in the course of the University discharging its mandate, regardless of where they are located. This includes, without limitation, university records that are stored on an employee's home computer or personal computing device.

The Policy does not apply to:

- **research records** (subject to the *University of Alberta Research Policy* and its associated *Procedures*)
- **personal communications** of individual faculty, staff and students; or
- records placed in the University Archives by or on behalf of a person or organization other than the University.

The Records Management Policy is a component of the University's broader data, information and knowledge governance and management regime. All practices concerning the management of University records are to be in accordance with this policy and its supporting procedures.

### Purpose

- To ensure the University's records and recordkeeping systems are managed responsibly as valuable resources and assets.
- To manage all records in all formats in compliance with relevant legislation and regulatory requirements, standards and best practices.
- To establish a University-wide **records management program** that facilitates the effective and efficient creation, collection, access, maintenance, protection, retention and disposition of all University records.
- To ensure the **integrity, authenticity, reliability** and **usability** of University records.
- To preserve the history and the evidence of the University's activities and transactions in all formats (including **vital records** and records of permanent value).
- To support both freedom of information and protection of privacy throughout the University.

The University's records management program is based on the following principles:

- All University records created, received or collected by University **employees**, including volunteers, while conducting the business of the University are the property of the University as vested under the authority of the Board of Governors.
- The University shall identify and create records that satisfy the requirements for evidence of and information about each business function, activity and transaction.
- All University records, including **transitory records**, shall be managed through their **lifecycle** according to the **University Recordkeeping Standard**.
- University vital records shall be identified in the University Recordkeeping Standard and shall be protected and made available in the event of disaster or loss.
- Records shall be disposed of only in accordance with approved **records retention and disposition schedules** as set forth in the University Recordkeeping Standard.
- Records requiring restricted access or dissemination shall be identified in the University Recordkeeping Standard and shall be protected from inappropriate access, alteration, usage and disposal.
- **Personal information records** shall be managed in accordance with all relevant privacy legislation, regulations and policies, including without limitations the *Freedom of Information and Protection of Privacy (FOIP) Act*.
- **Health information records** shall be managed in accordance with all relevant privacy legislation, regulations and policies, including the *Health Information Act (HIA)* and the FOIP Act.
- Disposition of relevant or **responsive** University records will cease in the event of litigation, grievances, audit or a request for information pursuant to the FOIP Act.

## POLICY

### 1. LEGISLATION AND STANDARDS

The University of Alberta is committed to managing its records in accordance with best practices, and adheres to all relevant laws and standards.

### 2. STATEMENT OF AUTHORITY

The **University Records Management Committee** is responsible for the initiation, control and review of records management standards, procedures, documentation and programs. The Committee shall recommend approval of the above (including the University Recordkeeping Standard) to the Vice- President (Finance and Administration).

### 3. STATEMENT OF RESPONSIBILITY

To support accountability, legal compliance and operational efficiencies and economies, the effective management of university records is a responsibility shared by all University **units**.

- a. The **University Records Officer** and the **University Records Office** are responsible for the development, implementation, communication, coordination, and on-going review of the university records management policy, procedures and standards.
- b. Within their respective units, Administrative Heads must clarify who is responsible to act as the unit **Records Management Coordinator(s)**. Administrative Heads may delegate the responsibilities of Records Management Coordinator to multiple individuals to accommodate work functions and duties. Record Management Coordinators are responsible for serving as the first point of contact for providing records management assistance and for coordinating records transfer and disposition activities.
- c. University employees and others who create or manage University records as part of their work are responsible to ensure that records management principles are addressed and for consulting with the Records Management Office when developing processes or systems or changing the media of records.

**DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top](#)

<b>Record(s)</b>	A record of information in any form and includes notes, images, audiovisual recordings, audio recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers and papers and any other information that is written, photographed, recorded or stored in any manner, but does not include software or any mechanism that produces records.
<b>University record(s)</b>	A University record means recorded information in any format within the custody or under the control of the University relating to the operation and administration of the University.
<b>Research record</b>	Research information assets supporting both research and operational needs. This includes administrative information and records produced for analytic or evidentiary purposes.
<b>Personal communication</b>	<b>For the purpose of this policy</b> , personal communication is information in all media and formats that is created, received or accumulated as a result of personal activities that are not related to the mission, administration or operation of the University of Alberta.
<b>Records Management Program</b>	A Records Management Program encompasses the governance and management framework, the people, and the systems required within the University to manage the University's records as a valuable asset through their lifecycle.
<b>Integrity</b>	The integrity of a record refers to it being complete and unaltered.
<b>Authenticity</b>	An authentic record is one that can be proven to be what it purports to be; to have been created or sent by the individual purported to have created or sent it; and to have been created or sent at the time purported.
<b>Reliability</b>	A reliable record is one whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest.
<b>Usability</b>	A useable record is one that can be accessed, processed, and understood over time.
<b>Vital records</b>	Records in any format or form containing information that is (1) essential to the operations of the University, (2) necessary to protect the University's legal and financial position, and (3) necessary to preserve its claims and rights and those of its stakeholders. Vital records are those records whose informational value to the University is so great, and the consequences of loss are so severe, that special protection is required and justified.
<b>Employee(s)</b>	An employee is any person who performs a service for the University as defined in section 1(e) of the Freedom of Information and Protection of Privacy Act. A person employed by the University for wages or salary, or who is under contract to provide a service to the University.
<b>Transitory records</b>	Records of a routine nature having short-term or limited value. Transitory records are (1) not an integral part of the University's administrative or operational records files, (2) not required to sustain

	the University's administrative or operational functions, (3) not filed under a University records classification system, and (4) recorded only for the time required for completion of actions or ongoing records associated with them. They are subject to legislative and legal proceedings, including the FOIP Act.
<b>Lifecycle (of a record)</b>	The lifecycle of a record is a series of phases starting when it is created or received by the University, through to its use, maintenance and temporary storage before finally being destroyed or archived permanently.
<b>University Recordkeeping Standard</b>	<p>A composite of all records management requirements, business rules and attributes relating to University records. The requirements, standards, business rules and attributes include, but are not limited to:</p> <ul style="list-style-type: none"> <li>● the functional taxonomy and classification scheme based on the University's business activities;</li> <li>● the approved records retention and disposition schedules;</li> <li>● the security and access classification scheme;</li> <li>● a thesaurus of preferred terms;</li> <li>● the recordkeeping metadata standard for the University's electronic records; and</li> <li>● digital preservation technologies</li> </ul>
<b>Records retention and disposition schedule</b>	The formal, recorded approval of a decision to retain or to destroy a record or set of records, together with the justification for that decision; and, it is the official legal instrument used by the University for the disposition of records.
<b>Personal information record</b>	As defined in the FOIP Act, a record containing the personal information of an identifiable individual, excluding a health information record.
<b>Health information record</b>	As defined in HIA, a record containing information about an identifiable individual that was collected in the course of providing a health service to the individual.
<b>Responsive</b>	Information that is reasonably related to pending litigation, audit or access to information request.
<b>University Records Management Committee</b>	A standing committee of the Vice-President (Finance and Administration) with campus-wide representation, to advise on matters relating to the management of the University's records.
<b>Unit(s)</b>	Administrative and/or organizational entities including faculties, departments, centres, institutes, administrative units and non-departmental units.
<b>University Records Officer</b>	The individual accountable for the development of an overall University records management framework, strategy and plan to ensure university records, regardless of media, are created, collected, classified, filed, preserved and disposed according to industry best practices and institute policy, procedure and standards.
<b>University Records Office</b>	The unit within the University responsible for ensuring the University is in compliance with this policy and associated procedures. The unit also provides guidance with respect to records management practices and procedures.

**Records Management  
Coordinator**

An individual designated by an Administrative Head who will represent the records management interests of the unit, serve as the unit contact for the Records Management Office and provide assistance to the unit to facilitate compliance with this policy and associated procedures.

**RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲ Top](#)]

University Research Policy <https://policiesonline.ualberta.ca/PoliciesProcedures/Pages/DispPol.aspx?PID=71>

**PUBLISHED PROCEDURES OF THIS POLICY**

[Institutional Data Management and Governance Procedure](#) (UAPPOL)

[Legal Hold Procedure](#) (UAPPOL)