

<b>Records and Information Management Procedure</b>			
<b>Parent Policy</b>	Records and Information Management Policy		
<b>Policy Sponsor</b>	Chief Governance Officer and General Counsel	<b>Category</b>	Administrative
<b>Policy Contact</b>	Records and Information Management Coordinator	<b>Effective Date</b>	October 21, 2022
<b>Procedure Contact</b>	Records and Information Management Coordinator	<b>Review Date</b>	October 21, 2027

### 1. Purpose

This procedure provides detail on how members of the Athabasca University community are to operationalize the Records and Information Management Policy. It will enable AU team members to become familiar with and understand applicable practices and guidelines for managing the records they deal with in order to meet their responsibilities.

### 2. Scope

These Procedures apply to the administrative and operational records of all members of the University Community. All records created and received by University employees and volunteers in the course of their duties on behalf of the University are the property of the University regardless of medium.

### 3. Definitions

<b>Administrative and Operational Activities</b>	Activities that are for the administration and operations of the University, including matters of governance, finances, budgeting, financial planning, human resources, procurement, management of policies and procedures, and management of the business affairs of the University. These activities encompass non-academic research activity, including professional development
<b>Record</b>	information created, received and maintained as evidence and documentation of a transaction and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business.
<b>Records management</b>	Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
<b>Records retention and disposition schedules</b>	An established timetable for maintaining University records, and their ultimate destruction or preservation.

<b>University Community</b>	All faculty and staff, students, Board Members, contractors, postdoctoral fellows, volunteers, visitors and other individuals who work, study, conduct research or otherwise carry on business of the University.
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## 4. Procedure

### 4.1 General

The following procedural categories will be further guided by supporting documents, awareness resources, guidelines, and training.

#### 4.1. Succession

Employees and volunteers leaving the University or changing positions within the University are to leave all administrative and operational records for their successors.

#### 4.2. Privacy and Security

For guidance on protecting information, including personal information, please see the University's *Protection of Privacy Policy*. The Office of the Chief Governance Officer and General Council also offers guidance on their website regarding how to remain compliant with the *Freedom of Information and Protection of Privacy Act*.

For guidance on maintaining security of digital information, please see the University's *Security of Digital Information and Assets Policy* which addresses authorized access and acceptable use, secure storage, classification, backup and disposal, security incident management, and authorities and accountabilities.

#### 4.3. Legal Holds

Legal requirements supersede any and all University policies and procedures authorizing the destruction of records. If the content of a record is related to actual or pending litigation, it is subject to a Legal Hold. Holds begin from the moment an employee is informed that legal action is reasonably foreseeable and remains in effect until explicitly removed. Records that are part of a Legal Hold cannot be destroyed until the hold is removed by the Chief Governance Officer

and General Counsel. This also applies to records involved in an access request made under the *Freedom of Information and Protection of Privacy Act*.

#### **4.4. E-Mail**

E-mails documenting University activities must be treated as records and maintained according to the Records Retention Schedule whether within the e-mail application itself or other electronic recordkeeping system.

#### **4.5. Electronic Records**

Electronic records generated or received in the course of business are University Records. Electronic information whether structured (e.g. database records), unstructured (e.g. word processed documents, web content, social media) including any relevant contextual metadata, should be preserved, maintained and accessible for as long as they are required to meet legislative, accountability, business and historical obligations. All records and information should be created and managed digitally, and the digital version shall be considered the official record, except in specific circumstances as established by processes and procedures.

#### **4.6. Electronic Imaging Management Programs (Scanning)**

Electronic imaging programs (conversion of paper to electronic images, such as through scanning) shall be performed in accordance with the principles of the Records and Information Management Policy and accompanying Program components, including digitization guidelines.

#### **4.7. Access and Retrieval**

To ensure records are easily accessed and retrieved by authorized personnel in a timely manner when required, all records must be filed in accordance with University Records and Information Management Program principles and guidelines. Inactive records are to be transferred to the AU Records Centre (AURC) for storage until their final disposition and may be accessed via the Privacy, Policy and Records Management Office.

#### 4.8. Disposition

Records disposition must be carried out in the manner established by the applicable Records Retention Schedule.

#### 4.9. Transfer to Archives – Records of Permanent Value

The University Archives manages corporate records of permanent value created and received by University officers and employees in the course of their duties on behalf of the institution, and which are no longer required for ongoing administrative and operational purposes. The University Archivist is responsible for identifying, acquiring, preserving, and providing access to the University's permanently valuable corporate records, as authorized by the *Athabasca University Archives Policy*. For additional guidance on transferring records to the University Archives, contact the University Archives.

### 5. Applicable Legislation and Regulations

[Freedom of Information and Protection of Privacy Act \(FOIP\)](#)

ISO Standard 15489:2016 Information and Documentation – Records Management

### 6. Related Procedures/Documents

[Digital Governance Control Framework – Governing Policy](#)

[Information and Data Management Policy](#)

[Protection of Privacy Policy](#)

[Security of Digital Information and Assets Policy](#)

[Athabasca University Archives Policy](#)

[Office of the Chief Governance Officer and General Counsel Website](#)

### History

<i>Date</i>	<i>Action</i>
October 21, 2022	Approved by the CGOGC

### Acknowledgement

Athabasca University would like to acknowledge Toronto Metropolitan University and their *Records and Information Management Procedure*.