

SUBJECT: *Interim*Records Management Policy**1. Purpose**

The purpose of this policy is to:

- Ensure that University records are created, used, disposed of, or preserved in a systematically effective and efficient manner, compliant with relevant legislation and in accordance with current standards of best practice;
- Ensure preservation of the University's records of permanent value through transfer to Archives;
- Ensure that access is provided to University records in accordance with *the Freedom of Information and Protection of Privacy Act* (FOIPPA), in support of litigation requirements, and for other business purposes as required;
- Define authorities, responsibilities, and accountabilities for Records Management; and
- Facilitate the efficient management of the University's records through the development of a coordinated institutional Records Management Program;

2. Scope

This policy applies to all departments and administrative units of the University, to all University records¹, regardless of format, and to all University officers, employees and governing bodies, who create, receive and maintain records in the course of their duties on behalf of the University of Northern British Columbia.

3. Policy

3.1 All University records created, received and set aside by all University officers, employees and by the various governing bodies of the University are the property of the University of Northern British Columbia and are subject to its overall control. The University will manage all records subject to applicable Federal and Provincial laws and University policies.

3.2 Officers and employees leaving, changing or relinquishing their positions with the University shall leave all records to their successors.

¹*University record* pertains to any document created or received and retained in the course of University activity that is recorded evidence of that activity. These include, but are not limited to, documents, maps, drawings, photographs, letters, vouchers, films, DVDs, voicemails, emails, instant messages, and any other medium upon which information is records or stored by graphic, electronic, mechanical or other means. The classification of a University records does not extend to Faculty research or teaching materials.

-
- 3.3 All records must be retained for as long as they are required to meet legal, administrative, operational, and other requirements of the University.
 - 3.4 Records disposition must be carried out in the manner established by the applicable Record Retention Schedules and Disposition Authorities and the Records Management Manual.
 - 3.5 Public access to official University records transferred to the Archives shall be determined by B.C.'s *Freedom of Information and Protection of Privacy Act*.
 - 3.6 Each University office shall designate one or more person(s) within that office to function as a **Records Officer** who, along with undertaking their regular duties, shall be responsible for records management within that office. The Records Officer(s) will undertake these duties with the advice and assistance of the Records Management Coordinator of the Northern BC Archives.
 - 3.7 All University records under the custody of a University office shall be dealt with by that office in accordance with the Records Management Policy, associated procedures and guidelines, and the applicable Record Retention Schedules and Disposition Authorities.
 - 3.8 University offices shall ensure that appropriate security measures are observed for maintaining and protecting the records in their use which contain personal or other confidential information from unauthorized access.
 - 3.9 A systematic review will be deployed on the University's records management program once every three years to ensure continued compliance with the University's records management policies, procedures and standards; to improve its performance and; to ensure the University records maintain their authenticity and reliability so as to be accepted as evidence in a court of law should this be required. The task of program facilitation will be assigned to either the Records Management Coordinator, or to an external auditor, by the VP Administration & Finance.

4. **Statement of Authority / Responsibility**

- 4.1 **Authority:** The Records Management Program was established in 2013 under the authority of the Vice President, Administration & Finance.
- 4.2 **Reporting Structure:** The University Records Management function is the temporary responsibility of the Northern BC Archives and Special Collections (the Archives). In this interim capacity, the Archives will continue in its current reporting structure whereby the Head, Archives & Special Collections reports directly to the University Librarian.
- 4.3 **Executive Responsibility:** Vice Presidents and administrative heads of unit are responsible for supporting the application of records management policies throughout their administrative portfolio.

4.4 Records Management Coordinator: The Records Management Coordinator is responsible for all aspects of records management including the design, implementation and maintenance of records management programs and their operations, and for training users on records management practice and records systems operations as they affect individual practices. The Records Management Coordinator will report directly to the Head, Archives and Special Collections and will work in collaboration with the University Records Management Committee.

4.5 Technical Services Responsibility: The Technical Unit Coordinator is responsible for ensuring that all systems documentation is accurate, available and legible to personnel when required.

4.6 UNBC Employee Responsibility: All University Employees, Faculty and Governing Officers are responsible and accountable for keeping accurate and complete records of their University related activities.

4.7 Responsibility for Access Security: It is the responsibility of individual University offices to ensure that appropriate security measures are observed for maintaining records containing personal or other confidential information.

4.8 Committee Authority: The **University Records Management Committee** (the "Committee") will be responsible for the initiation, control, and review of records management policies, procedures and programs. The Committee will ensure that the content and value of University records are taken into account during the assignment of appropriate retention periods and disposition schedules. The Committee will function as the penultimate unit of authority over the control, retention and disposition of University records and will ensure that all university records are managed in compliance with relevant legislation and in accordance with current standards of best practice.

4.8.1 This Committee shall meet at least once a month, or more often as needed.

4.8.2 This Committee shall report directly to the VP Administration & Finance.

4.8.2 The Committee will submit all University Records Retention Schedules and Disposition Authorities to VP Administration & Finance for final approval before application and implementation.

4.8.4 The Committee will submit all proposed/revised Records Management policies to the Provost for review and then on to the Board of Governors for consideration and approval.

4.8.5 The Committee shall consist of:

- University Archivist (Chair)
- University Records Management Coordinator (ex officio)
- Senior University Administrator (or designate)
- University Comptroller / Internal Auditor
- Chief Information Officer, ITS (or designate)

-
- FOIP/OP Officer

4.8.6 The term of appointment for Committee members is from the present until June 20, 2014; after which time appointment will be re-evaluated.

5. Relevant Legislation and University Policies

UNBC's Records Management Policy, Records Retention Schedules and Disposition Authorities, and Records Management Manual, along with all associated procedures and guidelines, will conform to relevant Provincial and Federal Legislation, current standards of best practice, University Information Security, and Freedom of Information and Protection of Privacy policies and procedures.

5.1 Relevant University Policies and Documents:

5.1.1 Associated Records Management Procedures:

- "Final Exam Retention Period – One Year"

5.1.2 Protection of Privacy Policy and Associated Procedures

- "Access to Information and Protection of Privacy"
- "Freedom of Information and Protection of Privacy Act - Fees Relating to Requests" (Motion: 199709.10)
- "Head of the Institution and Delegation of Authority under *the Freedom of Information and Protection of Privacy Act*"

5.1.3 Information Security Policy and Associated Procedures

- "Conduct Regarding Electronic Mail and other University Information Resources" (Motion: 199608.28)