Introduction

The purpose of this policy is to establish a University-wide records and information management program that governs the classification, retention, maintenance and disposal of all media of university records to:

- meet legislative requirements
- support accountability, efficiency and economy
- inform and document university decisions
- support program and service delivery
- preserve evidence of the University’s activities in all formats (including ensuring preservation of records of permanent value)
- support both protection of privacy and freedom of information services throughout the University

This policy applies to University Records in all media and formats created or received by members of the Board of Governors, faculty and staff in the course of carrying out all the administrative and academic work of the University and all its transactions and activities. This policy applies to the creation, receipt, use, handling, maintenance, storage and disposition of all University Records.

The related procedures and guidelines, developed by the Archives & Special Collections department of the Dr. John Archer Library in consultation with University administrative and academic units, can be found at http://www.uregina.ca/library/rim/. They provide for the management of records based on legal, operational, financial, administrative and other considerations through the development of classification and retention schedules, including the destruction or transfer of records to the University Archives & Special Collections after the retention periods have expired, so as to ensure compliance with all legal, regulatory and operational requirements.

Definitions

- **University Record** – documents or information in all media and formats that are created, received, or accumulated by a University officer, employee, authority or office while serving in an
official capacity as a representative of the University, which facilitates University activities and the business carried out by the University and/or which reflects the functions, activities and procedures of the creator’s office. University records are university property.

- **Non University Record** – documents or information in all media and formats that are created, received, or accumulated as a result of personal activities. These may be works created as a result of intellectual or artistic activity. While records and documentation that are created or acquired in preparation for teaching or in the course of research may be subject to contractual and academic record-keeping requirements, they are the intellectual properties of the faculty and are not University records (unless otherwise specified in a contract with the University).

- **Transitory Record** – documents or information that are of a temporary or immediate nature or of no value such as exact duplicate copies, external publications, routing slips, etc. While these are not required to meet statutory obligations or to sustain administrative or operational functions, they are subject to legislative requirements and legal proceedings. It is recommended that transitory records be destroyed once they have served their purpose. At the time that a request is received under The Local Authority Freedom of Information and Protection of Privacy Act, all undestroyed transitory records related to the request are subject to the Act.

- **University Leadership Team** – administrators who are a member of the University Executive Team (UET) or report to a member of UET, including but not limited to the President and Vice-Chancellor, Vice-Presidents, Executive Director (University Governance), Associate Vice-Presidents, Deans, Directors, Registrar, Librarian, and the Presidents, Vice-Presidents and Deans of the federated colleges.

- **University Records and Information Management Committee** – The University Records and Information Management Committee is responsible for the review and approval of all records schedules. The Committee is composed of the following members:
  - Executive Director, University Governance
  - University Librarian
  - Associate Vice-President Academic
  - Associate Vice-President of Finance or his/her designate
  - Associate Vice-President of Information Services or his/her designate
  - Associate Vice-President of Resource Planning or his/her designate
  - Registrar
  - Programming & Information Management Archivist

**Policy**

The University of Regina (the “University”) affirms the importance of good records and information management practices for all records and information required for the organization to fulfill its obligations and meet the expectations of its stakeholders. The University’s records will be classified, retained, archived or destroyed in accordance with this policy and related procedures and guidelines.

University Board members, faculty and staff, in conjunction with their units, Archives & Special Collections, the University Secretariat and Information Services, shall manage University records in their possession and control, and retain them in such a way that they can be readily accessed and retrieved.
All University units shall prepare and implement records classification and retention schedules that apply to the records in their possession or under their control. The schedules will be developed and used in cooperation with Archives & Special Collections, seeking advice from legal counsel, as appropriate, and approved by the University Records and Information Management Committee.

University units shall implement appropriate records management software for the management of all records, specifically electronic records, e-mails and their attachments, once a university-wide initiative is undertaken. Pending the implementation of this initiative, interim solutions such as storing records in electronic directory structures or printing and filing, and doing so within the structure of an approved records schedule, shall be implemented.

A small percentage of University Records will be selected by Archives & Special Collections for permanent preservation, as part of the institution’s archives, for historical research and as an enduring records of the conduct of the University’s functions and business.

Roles and Responsibilities

**Head of Freedom of Information and Protection of Privacy**
- oversee the adoption of record-keeping and disclosure practices consistent with the University’s Freedom of Information and Protection of Privacy policy and *The Local Authority Freedom of Information and Protection of Privacy Act*.

**University Leadership Team**
- ensure compliance with this policy and associated procedures.
- designate an individual in his/her faculty or office to serve as a Designated Records Officer.

**Designated Records Officers**
- provide leadership and support to record creators and keepers in their faculty/office in the area of records and information management.
- liaise with Archives & Special Collections faculty and staff on the development, implementation and enforcement of approved procedures and guidelines.

**Members of the Board of Governors, Faculty and Staff**
- create and maintain university records with consideration to legislative, business and accountability requirements and in accordance with an approved records schedule.
- dispose of inactive university records as prescribed by an approved records schedule.
- transfer university records to their successors and/or Archives & Special Collections when they leave or cease to be in their positions.

**Archives & Special Collections Faculty and Staff**
- provide direction to all areas and levels of the University concerning records and information management standards. This includes policy and procedure development and review, training, and cooperative design of records schedules and best practices.
- maintain and preserve university records of archival value that have been transferred to its care in accordance with approved records schedules and associated procedures. Access to these
records is governed by The Local Authority Freedom of Information and Protection of Privacy Act.

University Records and Information Management Committee (URIMC)
- review and approve all records schedules.

Consequences for Noncompliance

Any University employee who does not manage records and information in accordance with this policy may be subject to disciplinary action.

Related Information

- The University of Regina Act
- The Local Authority Freedom of Information and Protection of Privacy Act
- The Local Authority Freedom of Information and Protection of Privacy Regulations
- The Privacy Act
- GOV-060-005 Freedom of Information and Protection of Privacy
- GOV-080-025 Limitation of Liability for Non University Data (150.15)
- GOV-070-120 Imaged Documents as the Official or Legal Copy (10.90)
- Record Schedules