

Records and Information Management Policy			
Policy Sponsor	Chief Governance Officer and General Counsel	Category	Administrative
Policy Contact	Records and Information Management Coordinator	Effective Date	October 6, 2022
Approved By	Executive Team	Review Date	October 6, 2027
Approved Date	October 6, 2022		

1. Purpose

Effective management of administrative and operational records, information and data assets is essential to support the strategic goals of Athabasca University (“the University” or “AU”). As a digital-first learning environment, learners of all ages and stages can seamlessly interact with learning experiences asynchronously or synchronously, online or offline, remote and in-place. It is also a purposeful near-virtual working environment intended to support and benefit both employees and learners. The Records and Information Management Framework (RIM Framework) establishes a robust, agile foundation through which AU team members can understand the importance of managing their records and information assets in a meaningful way.

This Policy will build on the RIM Framework by setting out the underlying principles to ensure Athabasca University’s proper management of administrative and operational records and information assets in its near-virtual environment, ensuring its records and information assets are authentic, reliable, and useable. The implementation of the Policy will support the University’s transformative initiatives as well as digital governance and will be essential to enabling the University to effectively use accurate data and analytics in its decision-making. By ensuring the full lifecycle of institutional records and information assets is managed, the Policy will also help the University mitigate risk and ensure compliance with legislation through the creation of a Records and Information Management (RIM) Program.

2. Scope

This Policy and its related procedures, guidelines and other documents, 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

Administrative and Operational Activities	Activities that are for the administration and operations of the University, including matters of governance, finances, budgeting, financial planning, human resources, procurement, management
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	of policies and procedures, and management of the business affairs of the University. These activities encompass non-academic research activity, including professional development
Board	The Governors of Athabasca University and any delegate thereof.
Information/ Data Asset	Includes all data, information, and intellectual property.
Record	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.
Records management	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.
Records retention and disposition schedules	An established timetable for maintaining University records, and their ultimate destruction or preservation.
University Community	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.

4. Guiding Principles

- 4.1. Records and information management policy, program, and practice will be based on current professional standards (ISO 15489:2016, ARMA International) and best practices and in accordance with all applicable policies, contracts, regulations, and laws.
- 4.2. Any information, regardless of its structure or form, can be managed as a record. This includes information in the form of a document, a collection of data, or other types of digital or analogue information which are created, captured, and managed in the course of business.
- 4.3. The creation, capture, and management of records and information assets are integral to University business.
- 4.4. All University employees who create, receive, and use records have records and information management responsibilities and are accountable for the management of records and information generated in the course of their duties or under their direct control in their physical and virtual environment.
- 4.5. Decisions regarding the creation, capture, and management of records and information assets should be based on the analysis and risk assessment of business activities, legal, regulatory, and societal contexts.
- 4.6. Records and information management practices should be linked to organizational goals, objectives, and financial planning, with a coordinated approach across the University.



- 4.7. The authenticity, reliability, integrity, and useability of records and information assets must be protected to be considered authoritative evidence of business events or transactions and to fully meet the requirements of the University.
- 4.8. Records and information assets should be easily located, retrieved, presented, and interpreted within a reasonable time period to meet staff work needs and to support and guide decision-making.
- 4.9. Reasonable security measures will be adopted to ensure the integrity, confidentiality, controlled collection, use, retention and disclosure of personal information or data.
- 4.10. 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 Act* (FOIP Act).
- 4.11. Records and information should be created and managed digitally, except in specific circumstances as established by processes and procedures.
- 4.12. The University will implement a Records and Information Management (RIM) Program to effectively manage its records and information assets, from their creation or receipt to their ultimate preservation or destruction.
- 4.13. Records shall be disposed of only in accordance with approved records retention and disposition schedules.
 - a) 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.

Records and Information Management (RIM) Program

- 4.14. A Records and Information Management (RIM) Program provides effective maintenance and retrieval of information for purposes of fulfilling the University's obligations.
- 4.15. A RIM Program will take into consideration the following elements:
 - a) Inventory of all recorded information
 - b) Development of retention and disposition schedules for all recorded information
 - c) Development of a standard classification system for records
 - d) Provision of advice and assistance to staff
 - e) Provision of training to staff
 - f) The needs of the University community

Record Classification System

- 4.16. A record classification system identifies the groups of records and information assets created or received, used, and maintained throughout the University. The arrangement of these records allows for effective control and efficient operation.



Retention and Disposition Schedules

- 4.17. Retention schedules determine the minimum period of time a record must be kept. They will be established for all existing and new records and will be reviewed annually in collaboration with departments.
- 4.18. Disposition schedules determine the final disposition of a record. They will be established for all existing and new records and will be reviewed annually in collaboration with departments.

Inventory

- 4.19. An inventory identifies the records, their medium and location, and if they contain personal information. An inventory of all recorded information shall be completed and reviewed annually.

Advice, Assistance and Training

- 4.20. Advice and assistance will be provided to University employees through guidelines, procedures, and training. The Privacy, Policy, and Records Management (PPR) Office will provide assistance and advice regarding best practices for proper records and information management.

5. Applicable Legislation, Regulations, and Standards

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

ISO Standard 15489:2016 Information and Documentation – Records Management

NOTE: Other legislation relevant to specific business areas may also be applicable.

6. Related Policies and Procedures

[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](#)

History

<i>Date</i>	<i>Action</i>
October 6, 2022	Policy Revisions Approved – Executive Team
June 2000	Reformatted
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