

## Mount Saint Vincent University Records Management Policy

### Purpose

- The purpose of Mount Saint Vincent University's (MSVU) Records Policy is to ensure responsible management of University records and record-keeping systems as valuable resources and assets.
- To establish a University-wide records management program covering the retention, maintenance and disposal of all university records.
- To preserve evidence of the university's activities in all formats.
- To support accountability, and promote efficiency and economy.

### Principles

MSVU's records management program is based on the following principles.

Principle 1: All University records, regardless of media or location, are the property of the University, unless otherwise specified in a collective agreement.

Principle 2: Good records management practices are essential in creating, capturing, using and disposing of the information required for an organization to fulfill its obligations and meet the expectations of its stakeholders.

Principle 3: The MSVU University records management policy, program and practice will be based on current professional standards and best practices.

Principle 4: Records in all media formats created and received as evidence of University activities will be captured as records and maintained in all processes and systems.

Principle 5: Responsibility for capturing and maintaining records rests with the organization as a whole and with individuals within the organization.

Principle 6: The context and structure of records will be managed in any University record-keeping system, in order to maintain record security, reliability and authenticity.

Principle 7: The appropriate use and re-use of information contained within records will be guided by records management policy and procedures and any current applicable legislation.

Principle 8: Retention of records will be scheduled and authorized so that records are retained only for as long as they are needed.

Principle 9: Records will be protected from inappropriate access, alteration and usage.

Principle 10: University records of archival value will be preserved and access provided where restrictions do not apply.

Principle 11: Personal information contained in University records will be created, used, maintained and disposed of in an appropriate and legal manner.

Principle 12: University records, being the property of the university, may not be removed from its control or destroyed except under the authority of this policy.

### **Scope**

- The policy requires that the program be applied consistently across the University by all University personnel.
- The policy applies to all transactions and the records created or received in the course of carrying out all the administrative work of the University and all its transactions and business activities. (The policy does not cover the documents and data, or personal communications created or acquired by Faculty members, or other officers or employees in the course of their preparations for teaching, research and in all aspects of their personal activities.)
- This policy applies to the creation, receipt, use, handling, maintenance, storage and disposition of all records.
- The policy covers records in all media and formats, including but not limited to paper, electronic documents and files, e-mail, photographs, film, audio and video-tapes, drawings, etc.

### **Definitions**

*University records:* are those documents, data or recorded information in all media and formats created, received, and maintained as evidence and information in the administration of the activities of the University.

*Non-record material:* are those documents, data or information in all media and formats created, received as a result of personal activities. These may be works created as a result of intellectual or artistic activity and acquired in preparation for teaching and in the course of research (unless created under specific contract with the University that indicates otherwise) and they are the intellectual properties of the Faculty and are not University records.

*Active records:* are those records that are created or received in the course of University work or activities and are in frequent use. These remain under the custody, responsibility and control of the unit of the University that generates and maintains these records.

*Semi-active records:* are those records used less frequently but where the ownership remains with the University department or unit even when the records are transferred to the University Records Centres or other storage facilities.

*Inactive records:* are those records no longer needed for university activities. Destruction of these records may occur by authority only and in accordance with the retention schedule. If they are appraised as being records of permanent value they may be transferred to the University

Archives. Custody, responsibility and control of permanent records of value are transferred to the University Archives.

*Electronic records* are records that are created, generated, sent, communicated, received or stored by electronic means.

### **Terms of Reference / Records Management Program Procedures**

MSVU's records management program will establish a University-wide record-keeping system and practice that:

- Ensures control over the creation, maintenance and disposal of university records through record classification plans and retention schedules.
- Promote economy and efficiency in the creation, maintenance, storage, retrieval, and disposal of University records
- Ensures the availability of evidential, accurate, current, unaltered, authentic and reliable University records in all formats to support all University work and functions for as long as they are required.
- Ensures all record-keeping and retention at the University is consistent with the regulatory environment.
- Promotes systematic control of University records in accordance with provincial and federal statutes and University policy
- Provides guidance to administrative and academic units on management of their records
- Develops and reviews policy, procedures and roles for records management at MSVU
- Establishes institutional requirements and resources for control and care of records at the University.
- Ensures the proper disposition of University record, carried out in accordance with University policy, and maintains auditable documentation.
- Ensures care and control of University records in storage in the University Records Centres.
- Ensures permanently valuable records are preserved within the University Archives.
- Ensures compliance to policy and practice through monitoring procedures.

### **Statement of Authority**

The President shall create and appoint a **University Records Management Standing Committee** (the Committee) responsible for the initiation, control and review of records management policies and programs. This committee will be the ultimate body of authority for the control, retention and disposal of University records.

The Committee will approve all University records retention schedules before application/implementation.

The Committee will work with heads of University departments and units to:

1. Ensure the retention of University records according to approved schedules;
2. Authorize the destruction of records according to approved schedules.

The Committee will include:

- The University Librarian (who will chair the committee and provide expertise on historical and evidential issues and implications)
- The University FOIPOP Officer (who will provide expertise on legislative requirements)
- Library Archivist (ex officio, who will provide expertise on records management and practice issues and implications)
- The Registrar (who will provide expertise in legal issues or implications)
- Director of Information Technology & Services, or delegate (who will provide expertise on technological issues and implications)

### **Statement of Responsibility**

Responsibility for the effective management of University records according to a current authorized University records management program is a responsibility shared by all University employees and personnel.

Responsibility for the design, creation, implementation, maintenance and operational audit of the records management program shall rest with the Library Archivist.

The Library Archivist will provide the training and necessary support and advisory services to the staff of university departments and units so that the procedures and controls are understood and applied.

Ultimate responsibility for the control of records created in carrying out specific functions will be assigned by the University Records Management Committee to a senior member of staff in each university department and unit. The responsibility will include ensuring that retention schedules are followed and that the disposal (both destruction and transfer) of records are authorized and documented.

A Records management contact network of record custodians in all departments and units will be maintained.

University records staff will liaise with information management staff concerning the appropriate creation, use, maintenance, and disposition of electronic records in University systems.

### **Statement of Benefits**

A Mount university-wide records management program will provide a broad range of benefits to the University as a whole and to each individual department and unit. These benefits range from

litigation risk management, staff time and cost benefits, convenience in retrieval of information and informed decision making.

MSVU's Records Management Program:

- Supports the accountability of the University to all its stakeholders.
- Reduces space and costs required for storage for obsolete records.
- Meets legislative and regulatory requirements.
- Reduces the risks that occur when the retention and destruction of records are not controlled by the application of an approved retention schedule and destroyed with appropriate authorizations.
- Provides protection and support in litigation, and manages risks associated with the existence or lack of evidence of University activity.
- Protects the rights of employees, and students in the management of personal information.
- Provides continuity in event of disaster.
- Ensures services are delivered in a consistent and equitable manner.
- Provides accurate and current information in a timely manner for support in decision-making.
- Preserves the corporate memory of the University.

**Review Process**

Record management policy and program will be reviewed every five years.

Records retention schedules will be reviewed every five years (see Appendix A).

Records classification scheme / file naming protocol will be reviewed every five years (see Appendix B).

**Related Legislation and University Policies**

Income Tax Act; Personal Information Protection and Electronic Documents Act; Nova Scotia Freedom of Information and Protection of Privacy Act; Canada Labour Code; MSVUFA Collective Agreement; Board of Governors Retention Schedule.

Approved: Kathryn E. Laurin  
Kathryn E. Laurin  
President and Vice-Chancellor

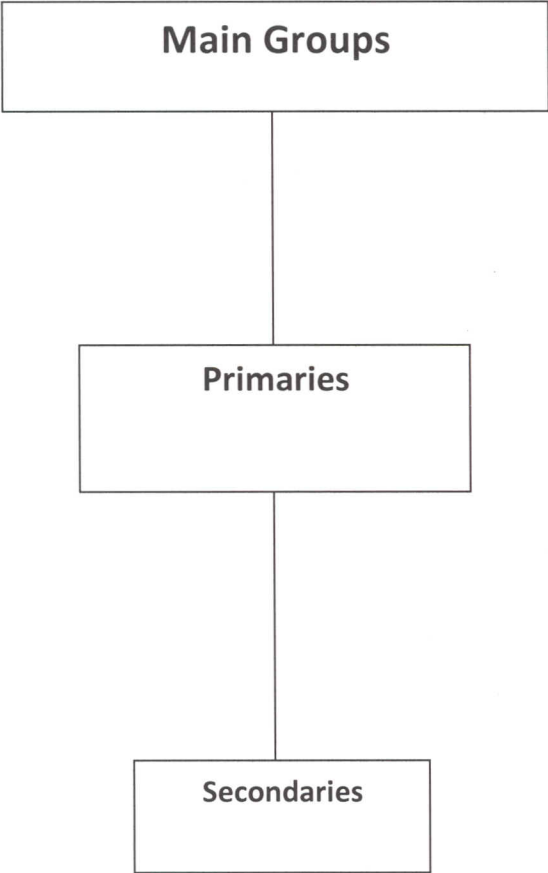
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## **APPENDIX A: MSVU Records Management Program Classification Scheme**

### **Offices of Primary Responsibilities (OPRs):**

Associate Vice-President, Academic and Research  
Associate Vice-President, Communications and Marketing  
Associate Vice-President, Student Experience  
Associate Vice-President, University Advancement  
Board of Governors  
Dean of Arts and Science  
Dean of Education  
Dean of Professional Studies  
Distance Learning & Continuing Education  
Facilities Management  
Financial Services  
Human Resources  
Information Technology & Services  
Library  
President's Office  
Registrar's Office  
Senate  
Vice-President (Academic)  
Vice-President (Administration)

**Records Classification Hierarchy:**



## **Main Groups:**

### **1000 - Governance**

Scope: Records relating to the self-governance of the university and departments as organizations.

**Main OPRs:**

**Primaries:**

### **2000 - Facilities**

Scope: Records relating to the management of university and departmental facilities and properties.

**Main OPRs:**

**Primaries:**

### **3000 - Finances**

Scope: Records relating to the management of university and departmental financial resources.

**Main OPRs:**

**Primaries:**

### **4 000 - Human Resources**

Scope: Records relating to the management of university faculty, staff and contractors.

**Main OPRs:**

**Primaries:**

### **5000 - Records and Information Management**

Scope: Records relating to work with other individuals, departments, universities, associations and external organizations to promote common goals and objectives.

**Main OPRs:**

**Primaries:**

### **6000 - Equipment and Supplies**

Scope: Records relating to the management of university and departmental equipment and supplies

**Main OPRs:**

**Primaries:**

### **7000 - Communications**

Scope: Records relating to the collection, analysis and dissemination of information about the university, its departments and activities.

**Main OPRs:**

**Primaries:**

### **8000 - Committees**

Scope: Records relating to meetings, deliberations and activities of university, faculty and department committees.



**Main OPRs:**

**Primaries:**

**9000 - Administration**

Scope: Records relating to the day-to-day management and operation of university and departmental offices

**Main OPRs:**

**Primaries:**

**10000 - Student Services and Records**

Scope: Records relating to the documentation of students' academic history and provision of support services to students.

**Main OPRs:** Registrar's Office

**Primaries:**

10100 Student Records and Information – SEE ATTACHED (APPENDIX B)

**11000 - Liaison and Cooperation**

Scope: Records relating to work with other individuals, departments, universities, associations and external organizations to promote common goals and objectives.

**Main OPRs:**

**Primaries:**

**12000 - Advancement**

Scope: Records relating to the promotion of the university's mission, departments and programs, and expansion of its resources

**Main OPRs:**

**Primaries:**

**13000 - Research**

Scope: Records relating to work furthering the growth of knowledge in its various branches.

**Main OPRs:**

**Primaries:**

**14000 - Teaching and Academic Programs**

Scope: Records relating to the provision of instruction in the various branches of knowledge.

**Main OPRs:** (Deans, Academic Departments)

**Primaries:**

**APPENDIX B: SAMPLE RECORDS RETENTION SCHEDULE**

**Main Group: Student Services and Records**

**Primary: (10100) Student Records and Information**

**Department or OPR: Registrar's Office**

**Scope:**

Records documenting the administration of undergraduate student academic records at the Registrar's Office, and maintenance of the academic history of each student at the University.

Included but not limited to: the creation and maintenance of the complete academic record of all current and former students of MSVU, recording of the final marks received, the maintenance of the record of academic status and credits, and the recording of transfer credits, the collection of personal, biographical and contact information of current and former students necessary for administration of the student records, and the administration of any changes to student data, including change of name procedures. Also includes the administration and issuing of student transcripts and degree certificates including responses to requests for official transcripts and degree certificates.

**Additional Notes:**

Much of the data contained within these records is accessed and utilized via the Datatel Colleague system.

10100	Student Records and Information (Undergraduate)	ACT	SA	DIS	FOI
- 00	Policies, Procedures and Standards	SO+0	0	D	
- 01	General	FY+1	0	D	
- 02	Resources/Reference Material	SO+0	0	D	
- 03	Associations and Conferences	FY+0	0	D	

- 04	Committees	FY+1	0	PR	
- 05	Contracts and Agreements	SO+1	6	PR	
- 06	Legal Matters	SO+1	6	DP	
- 07	Planning and Review	FY+1	0	D	
- 08	Reports and Statistics	FY+1	6	PR	
- 09	Student Academic Record*	FY+1	0	DP/PR	PIB
- 10	Basic Biographical/Contact Information	SO+0	0	SD	PIB
-11	Academic Sanctions and Rulings	SO+1	0	DP/SD	PIB
- 12	Requests-Transcripts	AY+1	0	SD	PIB
- 13	Change of Name	SO+0	1	DP/SD	PIB
- 14	Academic Changes**	SO+0	0	DP/SD	PIB

\* Records consist of, but not limited to, all courses and course weights, sessions, terms, academic years, degree programs, transfer credits (both internal and external), concentrations, distinctions, degrees awarded.

\*\* Records consist of changes to course registration (adding and dropping courses), changes of degree program, and program withdrawal for medical or other reasons.

SO Definitions:

- 00 Policy, procedure or standard replaced or revised
- 02 New or amended legislation proclaimed
- 05 Contract or agreement expired
- 06 Legal action concluded
- 09 Records to be retained permanently in electronic format. Related paper records to be retained for FY+1 years, and then destroyed.
- 10 Any paper copies can be destroyed upon entering into computerized system

- 11 Records to be retained in electronic format until assigned probationary period served according to sanction and/or ruling.
- 13 Change of name form received, approved, and entered into the system.
- 14 Records to be retained permanently in electronic format. Paper forms to be retained for AY+1 years, and then destroyed.
- 20 Information updated or no longer required
- Other No longer required for legal, audit or reference purposes

DP Definitions:

- 06 At the end of the records' active and semi-active life span, destroy if no legal value exists. Those records that still have legal value will be retained for another six-year, semi-active period. At the end of the second consecutive six-year, semi-active retention period, the records will be destroyed, designated for permanent retention, or designated for archival appraisal.
- 11 Paper records to be retained for SO+1 year, and then destroyed.
- 13 Records to be retained permanently in electronic format. Paper forms and other related paper records to be retained for AY+1 years, and then destroyed.
- 14 Records to be retained permanently in electronic format. Paper forms to be retained for AY+1 years, and then destroyed.

DEFINITIONS:

<b>ACT:</b> Active (Kept in Office)	<b>D:</b> Destruction	<b>FOI:</b> Freedom of Information	<b>PIB:</b> Personal Info Bank
<b>PR:</b> Permanent Retention	<b>DIS:</b> Disposition	<b>FY:</b> Fiscal Year	<b>SA:</b> Semi-Active (Storage)
<b>CY:</b> Calendar Year	<b>DP:</b> Disposition Plan	<b>OPR:</b> Office of Primary Responsibility	<b>SO:</b> Superseded/Obsolete
<b>VR:</b> Vital Record	<b>OR:</b> Operational Record	<b>SD:</b> Secured Destruction	<b>AY:</b> Academic Year