



Policy	O-6.2
Approved By:	College Executive Team
Approval Date:	February 26, 2003
Amendment Date:	November 25, 2009
Policy Holder:	VP Administration

## RECORD MANAGEMENT

### Purpose / Rationale

The purpose of this policy is to establish commonly understood and efficient practice for the retention and disposition of College records that ensures Camosun meets its legislative, financial and legal obligations as a public body to manage its records in a systematic and consistent manner.

This policy defines the standards for ensuring that all College records are trustworthy, usable over time, retained and disposed of according to approved timetables and managed as a consistent whole when they relate to the same subject or are part of the same business process.

This policy establishes procedures required to ensure that College records are processed and maintained according to record management principles and best practices that enhance their admissibility as evidence in legal proceedings and their reliability to support business decisions

### Scope / Limits

This policy applies to all records created by and/or maintain by the College.

This policy is governed by the Freedom of Information and Protection of Privacy Act and other laws of general application. It does not apply to published or copyrightable materials as defined in collective agreements. Also, the policy does not apply to published or copyrightable materials produced in support of College business functions by non-teaching employees.

### Principles

1. Each employee is responsible for managing college records in a responsible and professional manner.
2. The Director of IT Services is the final authority for approval of all retention and disposition schedules.
3. Unit managers with Office of Primary Responsibility for college records that are a function of his/her business unit will define the content of records for which he or she holds primary responsibility.

4. All college records have a reasonable retention period based on the legal or logical requirement for retention.
5. All college records will be trustworthy, usable over time, retained and disposed of according to approved timetables, and managed as a consistent whole, regardless of location when they relate to the same subject or are part of the same business process.
6. The College, through its records management process, will ensure that employees have the training, resources, and materials they need to create and maintain records, in all media, that are trustworthy, usable, retained and disposed of according to approved schedules, and are managed as a consistent whole.
7. All retention and disposal schedules that cite provincial or federal legislation as part of their retention rationale will be submitted for legal review to ensure that the schedules meet legislative requirements.

## **A. DEFINITIONS**

1. **Title Active records:** are records in constant use that need to be retained in the office close to users.
2. **Archival records:** are records used to administer, support or document the delivery of College programs, carry out operations, make decisions or account for College activities, and require indefinite preservation.
3. **Common Records:** are records that provide evidence of administration of functions or activities that are not unique to one particular management unit. Common records often share a similar style or format, but the content is different. In some cases, common records are copies of original records for which another unit manager holds the office of primary responsibility.
4. **Document management:** is the combination of business processes and computer software used to capture, organize, store, retrieve, manipulate and control the circulation of scanned paper or microfilmed documents and born digital documents.
5. **Office of primary responsibility:** is the business area that creates or receives and files original, official records relating to its particular function or activity within the College. The unit manager of a business area is responsible for defining and following the retention and disposal schedule established for its records.
6. **Official college records:** are all records created or received by College employees in the course of their duties on behalf of the College and retained to meet business, legal, financial, legislative and other needs. For the purposes of implementing this policy, the definition of official college records excludes books and other published materials and copyrighted or copyrightable materials. Official college records may be in the form of paper, non-paper-based media such as microfilm, CD-ROM and audio or video tape and electronic media such as e-mail, word processing, spreadsheet and presentation

documents, digital images of paper or microfilm stored in a records and document management system, databases and web sites.

7. **Personal information:** means recorded information about an identifiable individual. Personal information includes: home address, home telephone number, race, nationality, origin, colour, political or religious beliefs, age, sex, sexual orientation, marital or family status, and any identifying number or symbol assigned to an individual. It also includes an individual's personal history regarding finances, education, health, criminal records and employment. Personal information also includes images about individuals.
8. **Personal information bank:** is a collection of personal information that is organized or retrievable by the name of an individual or by an identifying number, symbol or other particular assigned to an individual.
9. **Primary record:** is the official copy of the record and is generally stored in a secure place in a senior administrative office area.
10. **Records and information management:** policies and procedures, technologies, and other administrative controls applied to the records and information that employees use to support their business operations and processes, and that are required to protect legal interests and fulfil legislative obligations. Records and information management functions include activities such as implementing filing systems, establishing retention and disposal schedules, protecting vital records and preserving archival records.
11. **Records and information management appraisal report:** the document that the Records Manager produces in consultation with a unit business area to describe its records and define each record type's appropriate retention and disposal schedule.
12. **Retention and disposal schedules:** define specific time periods for keeping records in the office (the active phase), for maintaining records in storage (the semi-active phase), and determining their final disposition (destruction or indefinite archival preservation).
13. **Secondary record:** is a copy of the primary record and may be stored by departments for convenience for a period of time that meets their current access needs, but no longer.
14. **Semi-active records:** are records no longer used constantly, but are required for reference, legal, audit or other purposes. Semi-active records may be transferred to on- or off-site secured storage to free-up limited and expensive office space.
15. **Source records:** are records in paper form or on microfilm that contain information or data entered into a records and document management system.
16. **Trustworthy records:** are records that are reliable (they are what they claim to be), complete (created with all the content, contextual information and rules required to carry out their intended business purpose) and authentic (can be trusted as evidence of business transactions and proven not to have been altered in any way).

17. **Usable records:** are records that can be retrieved, accessed, deciphered and comprehended for as long as their creators and other business areas, such as audit or legal departments, require them.
18. **Vital records:** are records considered essential to the College's continuing or resuming its operations in the event of a disaster. A record is vital when it would be required to resume or continue College business, supports the College's legal or financial position or is made vital by regulation or statute.

## **B. RECORD MANAGEMENT PRACTICE**

1. Employees will file or otherwise organize their college records in a manner that allows access and retrieval of records quickly and easily, when required. Employees will reference the college's indexed record classification directory and the Records and Information Management Appraisal Reports when filing.
2. Employees will protect the privacy of individuals by ensuring that records containing personal information are stored in a secure environment while in the office, are protected from harm if designated as vital records, and are confidentially destroyed by shredding or incineration according to approved retention and disposal schedules.
3. Unit supervisors will work to ensure compliance with privacy guidelines for the collection, storage and disposal of personal information records.
4. Employees will follow the approved retention and disposal schedules established for their department's original, official college records, and will notify their unit supervisor of any changes to their business processes that would require updating their department's Records and Information Management Appraisal Report. When the head of the business area approves the appraisal report, he/she agrees to manage the area's records according to the retention schedules.
5. Employees may retain duplicate or reference copies, i.e., secondary records, created and maintained by other departments for as long as needed for reference purposes, but no longer than the retention and disposal schedule established for the original, official record.
6. Departments that create or maintain **vital** records will establish and follow procedures to ensure that such records are protected in the event of a disaster.
7. Employees who leave the College or change positions will leave all official college records for their successors, subject to approved retention and disposal schedules.

## **C. LEGISLATED REFERENCES**

College and Institute Act

## **D. LINKS TO SUPPORTING FORMS, DOCUMENTS, WEBSITES, RELATED POLICIES**

To review Record Management procedures:

[0-6.2.1 Records Management Procedures Manual](#)

## **E. AUTHORITY**

The Director of Information Technology Services has the authority and responsibility to ensure that the record management program is implemented, and to monitor employee compliance with this policy. The Director will periodically edit the index, a dynamic document, to ensure it is current and will maintain appropriate on-going training practice.

## **F. RELATED ACTS AND REGULATIONS**

BC Employment Standards Act

BC Financial Information Act

BC Freedom of Information and Protection of Privacy Act

BC Limitation Act

BC Personal Information Protection Act

Canada Employment Insurance Act

Canada Income Tax Act

Canada Pension Plan Act

Canada Personal Information Protection and Electronic Documents Act

## **G. RELATIONSHIPS WITH COLLECTIVE AGREEMENTS**

Canadian Union of Public Employees, Local 2081

Camosun Faculty Association Collective Agreement

BCGEU Local 701