



Medicine Hat College Policy RECORDS AND INFORMATION MANAGEMENT

Policy #:	GA-05
Policy Authority:	Manager, Policy and Compliance
Executive Sponsor:	Vice-President, Administration and Finance
Approved by:	President
Effective Date:	May 6, 2020
Next Mandatory Review Date:	May 6, 2025
Frequency of Review:	5 years

1. POLICY OBJECTIVE

To provide direction for employees to manage Medicine Hat College (MHC) records:

- as valuable information assets; and
- in compliance with the college's legal, regulatory, and ethical obligations.

2. POLICY SCOPE

This policy applies to

- all MHC employees including any contractors or other agents that create, receive, and/or manage records of MHC business; and
- all information produced during MHC operations that has been recorded in any physical or electronic format.

This policy **does not** apply to

- intellectual property (as defined in MHC policy), and
- records pertaining to patient care not related to an academic program.

3. BACKGROUND INFORMATION

This policy is based on the principles outlined in the international records and information management (RIM) standard, ISO 15489-1:2016. It is also based on an inventory of records in the custody or control of MHC and an analysis of the business activities that these records support.

4. DEFINITIONS

- Agent/Contractor:** a person or group collaborating with MHC for a business or academic purpose.
- Archival Records:** records that are preserved indefinitely because they document institutional memory including growth, change, and decision-making over time; archival records are different from "archived" records in the information technology sense.

- **Disposition:** the final stage of managing a record when it is either securely deleted/destroyed beyond the possibility of reconstruction **or** transferred to the archives for indefinite preservation.
- **Information:** content, knowledge, facts, data, or communications from which meaning is derived.
- **Information Asset:** a body of information that has both inherent value and risk.
- **Master Record:** the original and/or most complete version of a record (up-to-date, signed, etc.) from which copies are made.
- **Medicine Hat College Record:** information created or received during the conduct of MHC business, and recorded in any format or medium. MHC records are owned by the college.
- **Non-Record Materials:** recorded information that has no business value for MHC, or which serves only a temporary informational purpose (i.e. transitory records). Duplicates of a master record are considered non-record materials.
- **Record:** information produced in the ordinary course of business and recorded in any format or medium as evidence of a business activity, decision, or transaction.
- **Record Custodian:** the department that is responsible for the retention and disposition of master records according to the Records Retention and Disposal Schedule (the Schedule) because
 - (a) it is the department that created the master records, and/or
 - (b) the records provide evidence of a function unique or central to that department.
- **Records and Information Management:** the systematic management of an organization's information to determine appropriate retention timelines for records based on their administrative, legal, fiscal, and historical values. RIM helps to control costs, promote efficiency, and safeguard institutional memory.
- **Records Lifecycle:** the stages that a record moves through from creation or receipt to disposition.
- **Records Retention and Disposition Schedule (the Schedule):** a document that outlines the appropriate retention and disposition actions for all categories of records.
- **Record User:** a department or agent that uses a record, or copy of a record, for a period of time to carry out college business.
- **Supervisor:** an employee delegated supervisory responsibility. This includes, but is not limited to supervisor, manager, executive director, director, chair, associate dean, dean, vice-president and president.

5. PRINCIPLES

5.1 The Policy and Schedule are based on three overarching objectives: collaboration, compliance, and sustainability.

5.1.1 Collaboration

- The Schedule outlines a standardized approach to managing records so that the right user(s) have access to the right information at the right time.
- Efficient, responsive information sharing is valued concurrently with privacy and confidentiality.

5.1.2 Compliance

- MHC complies with all relevant legislation and regulations, as well as information management professional standards and best practices.
- Any record created or received during MHC business operations, or using MHC technology, is therein owned by the information and will be managed under the authority of the Schedule. This includes MHC records on an employee's personal computer/device.

5.1.3 Sustainability

- The Schedule is designed to maintain recordkeeping continuity which helps the college meet its current and future goals.
- Archival records are retained indefinitely for their enduring value for the MHC Community.
- Prompt destruction under the Schedule reduces storage costs (whether paper or server) and mitigates the risk of unauthorized access to information.

6. RESPONSIBILITIES

6.1 **Employees** are responsible for

- (a) adhering to the record custodian and record user responsibilities as detailed by the Schedule;
- (b) ensuring any records created are accurate, complete, and available for access by authorized users throughout the duration of the record's lifecycle; and
- (c) controlling the growth of records by identifying master records and duplicates and routinely disposing of non-record materials.

6.2 **Supervisors** are responsible for

- (a) departmental compliance with the policy; and
- (b) delegating responsibilities as needed.

7. APPLICABLE LEGISLATION/REGULATIONS

Canada Anti-Spam Legislation
Employment Insurance Act
Employment Pension Plans Act
Employment Standards Code
Freedom of Information and Protection of Privacy Act
Income Tax Act
Limitations Act
Occupational Health and Safety Act
Post-secondary Learning Act

8. RELATED POLICIES

GA-04: Freedom of Information and Protection of Privacy
IT-02: Electronic Information and Storage
1.4: Retention of Student Records
7.1: Personnel Record
7.2: Personal Information and Privacy
7.9: Telework
8.1: Email Usage
9.4: Applied Research
9.5: Intellectual Property and Copyright
9.6: Copyright Compliance
9.8: Invention Disclosure and Assignment

9. RELATED PROCEDURES

PR-GA-05-01: Applying the Records Retention and Disposition Schedule
PR-GA-04-01: Freedom of Information and Protection of Privacy

10. RELATED INFORMATION

GA-05-01: Appendix B - Records Retention and Disposition Schedule

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Kevin Shufflebotham
President and CEO

Date: May 6, 2020

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Wayne Resch
Vice-President, Administration and
Finance

Date: May 6, 2020

DOCUMENT HISTORY

January 2019 Policy approved
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