

 DALHOUSIE UNIVERSITY Records Management Policy	Sponsor: President	Approval Date: November 29, 2016
	Responsible Unit: Dalhousie University Libraries	Revisions: Approved January 25, 2022

Records Management Policy

Revised 2021

A. Background & Purpose

Administrative records are institutional assets. They are vital to maintaining current business activities, assisting future operations and informing an institution's history. Dalhousie University is committed to managing information created and received by the institution in a manner that accurately documents administrative activities and meets regulatory and legal requirements while adhering to national and international standards. Dalhousie understands that preserving its history is vital to the evolution of the institution.

The purpose of this policy is to guide and direct the creation and management of information and records that support administrative operations, and to identify relevant roles and responsibilities.

B. Application

1. This policy applies to all:
 - 1.1. employees of the university: faculty and operational staff (full-time, part-time and temporary);
 - 1.2. information created or collected and maintained during the course of administrative functions of Dalhousie, regardless of format; and
 - 1.3. applications used to create, manage or store information and records that support the administrative operations of Dalhousie.
2. This policy does *not* apply to:
 - 2.1. records that are created or acquired by faculty members in connection to individual teaching materials, scholarships and research—such records are covered by other policies or regulations; or
 - 2.2. personal, non-university records.

C. Definitions

In this policy:

Disposition refers to the action taken with University administrative records once retention requirements are met.

University Administrative Record refers to information created or received that supports the function of administrative matters of the university, regardless of format.

University Records Committee refers to the committee established pursuant to section E. of this policy.

D. Policy

1. University administrative records are an asset of the University and shall be created, used, accessed, retained, preserved and dispositioned in accordance with:
 - a. this policy and related protocols, procedures and guidelines;
 - b. classification, retention and disposition schedules approved by the University Records Committee;
 - c. any legal or regulatory requirements applicable to the program or activity to which the records relate; and
 - d. any requirements set out in other University policies, protocols, procedures or guidelines pertaining to University administrative records.
2. The responsibility and accountability for the creation, use, security, maintenance, and dispositioning of University administrative records is a shared responsibility of the university and the members of the university community authorized to create, use, access, retain, preserve and dispose of University records.
3. University administrative records shall at all times be protected from inappropriate access, alteration and use.
4. University administrative records shall be stored and maintained only in University-approved repositories.
5. University administrative records shall not be destroyed, unless in accordance with this policy or as required by law.
6. University administrative records are subject to review and selection by the University Archives for long-term preservation prior to disposition.

E. Administrative Structure

1. The President of Dalhousie University is the sponsor of this policy. Dalhousie University Libraries, under the direction of the Dean of Libraries, is the unit responsible for the administration of this policy.
2. The University Records Committee shall be comprised of:
 - a. Dean of Libraries (Chair)
 - b. Vice-Provost Planning & Analytics
 - c. Associate Dean Archives, Records Management & Special Collections
 - d. Chief Information Officer & AVP ITS
 - e. Executive Director Dal Analytics
 - f. Internal Audit representative
 - g. Legal Counsel Office representative
 - h. Privacy Officer
 - i. University Secretary
 - j. and a Dean appointed by the Provost.

The Records Manager serves as a resource ex officio to the committee.

F. Related responsibilities

- a. The University Records Committee is responsible for:
 - i. Approving and reviewing classification, retention and disposition schedules;
 - ii. Reviewing protocols, procedures and guidelines to support compliance with this policy;
 - iii. Reviewing this policy every three years and recommending any changes; and
 - iv. Meeting at least once annually to discuss issues and trends relevant to the administration of this policy.
- b. The Associate Dean Archives, Records Management & Special Collections is responsible for authorizing all record dispositions prior to final disposition and reporting to the URC a summary of reviewed record dispositions and records selected for archival appraisal.
- c. The Information Technology Services unit is responsible for the integrity, reliability and security of the IT systems holding University administrative records.
- d. The University Records Manager is responsible for:
 - i. The creation of all records management protocols, procedures, guidelines, tools and training;
 - ii. Providing records management advice and guidance to the University;
 - iii. Reporting annually, at a minimum, to the University Records Committee regarding the implementation of the policy, its related procedures, protocols and guidelines, as well as the programs' overall progress and effectiveness.
- e. Archivists are responsible for reviewing all record dispositions prior to final review and authorization by the Associate Dean Archives, Records Management & Special Collections, to ensure the selection, acquisition and long-term preservation of University administrative records with historical value.
- f. Unit leaders and managers are responsible for creating support structures for faculty and staff within their units and for identifying records contacts within their units.
- g. Unit records contacts shall be the point of contact for the Records Management Office. They shall communicate regularly with the Records Management Office regarding the proper management of identified University administrative records.

G. Procedures

The Records Management Program is intended to provide support to the policy by creating a structure for the effective records management of University administrative records. This includes maintaining retention and disposition schedules in accordance with operational needs; federal and provincial government regulations; fiscal and legal requirements; identified historical value; and defined authorities and responsibilities.

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All protocols, procedures and guidelines necessary to support this policy shall be available through the Records Management Office. This includes maintaining retention and disposition schedules in accordance with operational needs; federal and provincial government regulations; fiscal and legal requirements; identified historical value; and defined authorities and responsibilities.