

 DALHOUSIE UNIVERSITY Records Management Policy	<i>Policy Sponsor: President</i>	<i>Approval Date: November 29, 2016</i>
	<i>Responsible Unit(s): University Library</i>	<i>Revisions:</i>

A. Purpose

Records management can be defined as an efficient, orderly, and systematic approach to the creation, receipt, use, and disposition of records, including processes for capturing and maintaining evidence and information about activities and transactions in the form of records.

A critical component of a records management system is a records retention and disposition schedule which is a comprehensive instruction to ensure that records are retained for as long as necessary based on their operational, fiscal, legal, and historical value, and are disposed of in an authorized manner at the end of the retention period.

The purpose of this Policy is to create a structure for the effective records management of University Administrative Records which includes maintaining a records retention and disposition schedule and defining authorities, responsibilities, and accountabilities for records management of administrative records within the University.

B. Application

This Policy applies to all records (regardless of format or medium) that support the administration of the University. Examples of such records include those pertaining to office administration, advancement activities, campus services, facilities and property, financial matters, university governance and committees, human resources, information management and technology, research administration, student academic history, student supports, and academic program administration.

This Policy does not apply to records that are created or acquired by faculty members in connection with their individual teaching materials, scholarship and research; such records are covered by other policies or regulations.

This Policy does not apply to personal, non-University records.

C. Definitions

“University Administrative Records” mean records (regardless of format or medium) that support the administration of the University that are created, received, used or maintained by members of the University community in the course of activities undertaken on behalf of, or in the course of employment duties to, the University, and includes Electronic Records.

“Electronic Records” mean administrative records created or received in a digital format, which requires a computer or other digital device to read, perceive, or hear.

“University Records Committee” means the committee established pursuant to section E.3 of this Policy.

D. Policy

1. University Administrative Records are an asset of the University and shall be created, used, accessed, retained, preserved, and disposed of in accordance with:
 - a. this Policy and Procedures;
 - b. the classification, retention and disposition schedules approved by the University Records Committee;
 - c. any guidelines approved and published by the University Records Committee;
 - d. any legal or regulatory requirements applicable to the program or activity to which the records relate; and
 - e. any requirements set out in other University policies pertaining to the records.
2. The responsibility and accountability for the creation, use, security, maintenance, and disposition of University Administrative Records is a shared responsibility among the University and the members of the University community authorized to create, use, access, retain, preserve and dispose of University records. It is the responsibility of unit leaders and managers to put appropriate structures in place to support compliance with this Policy.
3. University Administrative Records shall at all times be protected from inappropriate access, alteration, and use.
4. University Administrative Records shall not be removed from the University’s custody or destroyed except in accordance with this Policy or as required by law.
5. University Administrative Records designated for disposal are subject to review and selection by the University Archives for long-term preservation.

E. Administrative Structure

1. Authority. The President is the sponsor of this Policy. Dalhousie University Libraries, under the direction of the University Librarian is the unit responsible for the administration of this Policy.
2. Related responsibilities. The University Archivist is responsible for the selection, acquisition, and long-term preservation of University Administrative Records having historical value. The Chief Information Officer is responsible for the integrity, reliability and security of the IT systems holding University Administrative Records.
3. University Records Committee. The University Records Committee shall comprise the University Librarian (Chair), Vice-Provost Planning, University Archivist, Chief Information Officer, Privacy Officer, University Secretary, and a Dean appointed by the Provost. This Committee is responsible for:
 - a. approving, reviewing and revising classification, retention and disposition schedules;
 - b. approving procedures, guidelines and protocols to support compliance with this Policy;
 - c. evaluating the effectiveness of this Policy and recommending necessary changes;
 - d. reviewing this Policy every three years and recommending any changes; and
 - e. meeting a minimum of once annually to discuss issues and trends relevant to the administration of this Policy.

F. Procedures

Any procedures necessary to support this Policy shall be approved and published by the University Records Committee.