

Part 16 - Records Management

Records and Information Management Program POL 1601

Policy Type:	Management		
Policy Sponsor:	President	Effective:	August 17, 1999
Office of Administrative Responsibility:	Office of the President	Last Reviewed:	August 1999
Approver:	Board of Governors	Approved:	August 17, 1999

A. POLICY

All records created and received by MOUNT ROYAL UNIVERSITY (hereinafter referred to as the "University"), are the property of Mount Royal. Mount Royal will retain records that constitute evidence of business transactions conducted in the normal course of its business based on legal, operational, financial and administrative requirements. The final disposition of the records will be carried out according to the requirements of the approved Records Retention & Disposition Schedule of Mount Royal.

The Records & Information Management Policy is an integral part of the Mount Royal Information Management Policy (POL 1005) which serves to guide all policies and procedures related to information management.

B. SCOPE

The Records & Information Management Program (hereinafter referred to as the "RIM Program") applies to all departments and administrative offices of Mount Royal at its main campus in Calgary, its other locations, its educational partners provincially, nationally and internationally who maintain records on behalf of Mount Royal, and to all Mount Royal officers, employees, contractors and agents who create, receive and/or maintain records as part of their duty on behalf of Mount Royal University.

As project types, business partners and country contexts vary, so will Records & Information Management issues and responses.

The Program forms part of the usual, ordinary course of business of Mount Royal.

C. PURPOSE OF A RECORDS & INFORMATION MANAGEMENT PROGRAM

Records contain information, and information is a corporate asset that provides an organization with a corporate memory and a competitive advantage. The purpose of this Program is to promote efficient and cost effective methods of managing records during their life cycle, ensuring due diligence in the care and protection of them, regardless of media.

D. ELEMENTS OF THE RECORDS & INFORMATION MANAGEMENT PROGRAM

- Records inventory and approval
- Records retention and disposition schedule
- Vital records management and control
- Active files management and control
- Electronic and digital document management and control
- Micrographics document management and control
- Inactive records management and control
- Archives management
- Forms management and control
- Correspondence management and control
- Reports management and control
- Directives management and control
- Records & Information Management Procedures Manual

E. OBJECTIVES OF A RIM PROGRAM

- Manage information resources in order to meet the goals of Mount Royal.
- Implement effective guidelines and tools for the creation, maintenance, storage and disposition of records.
- Establish information management strategies.
- Ensure information assets are managed efficiently and cost effectively.
- Facilitate the integration of the strengths and knowledge bases of all departments.
- Maintain the integrity and accessibility of information for the conducting of business.
- Ensure compliance with government regulations and Mount Royal policy regarding access, privacy, retention and protection of records.
- Ensure the protection and accessibility to information required for the operation of critical business activities, in the event of a disaster.

F. WHAT IS RECORDS & INFORMATION MANAGEMENT

RIM is a process used to systematically control an organization's business records. Such control is exercised over the creation, distribution, use, maintenance, storage, retrieval, protection, retention, preservation and final disposition of all information captured in reproducible form that is required for conducting business.

The RIM Program uses a functional approach designed to achieve institution-wide control so that an efficient flow of information is provided for the conducting of the business of the University.

LIFE CYCLE OF RECORDS

Creation:

Record is created or received by Mount Royal as evidence of the institution's activities.

Distribution:

Record created or received by Mount Royal is disseminated to internal and/or external clients for either action or reference purposes.

Use:

Record is used by the business unit for a short period of time, and action taken on the information provided therein.

Maintenance:

Record is classified for retrieval purposes, and retained in the business unit for a specified length of time. The Document Classification System and the Retention Schedule are the primary tools used for maintenance of records.

Storage:

Record that has passed its operational value but is retained for legal and/or financial requirements is transferred from the record maintenance area and to an inactive records storage facility. The transfer of records to a storage facility ensures the protection of the information and maintenance at a lower cost.

Disposition:

This is the last phase in the life cycle of a record. Records are disposed of, based on the Retention Schedule, using defined methods according to record type and/or media, or retained for archival purposes.

G. ACCOUNTABILITY

UNIVERSITY RECORDS

Records & Information Management is a business function under the President's Office. The Director, University Secretariat has functional responsibility for the RIM business unit, referred to as "University Records". University Records specializes in the management of information resources in order to meet the goals of the University, and offers the following services:

- Administration of the RIM Program.
- Project management.
- Consulting.
- Information analysis.
- Training.
- Auditing.
- Ensuring compliance with the University Records Retention Schedule.
- Developing standards for supplies and equipment.
- Managing the records of the Executive Offices.
- Developing records and information management procedures.
- Developing tools and processes which:
 - provide timely access to corporate intelligence
 - support the application of the Freedom and Protection of Privacy Act
 - promote information sharing through consistency
 - lever value through appropriate disposition of records.
- Enhancing and updating procedures, tools and processes

RECORD CUSTODIAN

The custodial responsibility of the records is assigned to the business unit manager. Where appropriate, the manager may delegate authority to execute specific responsibilities to others closer to the use and management of the records.

The record custodian's responsibilities are:

- to comply with the requirements of the Mount Royal RIM Program,
- to ensure records are retained and disposed of according to the Records Retention Schedule,
- to ensure records are available during an audit or litigation,
- to ensure integrity, accuracy and currency of the collection of records,
- to ensure proper classification of records for ease of access by users, and
- to provide the right information to the right user at the right time.