



RECORDS MANAGEMENT POLICY

Policy Type:	Institutional	Initially Approved:	August 18, 2025
Policy Sponsor:	President and CEO	Last Revised:	August 18, 2025
Responsible Unit:	University Secretariat	Review Scheduled:	August 2030
Approver:	President and CEO		

A. PURPOSE

The purpose of this Policy is to ensure that Alberta University of the Arts' (AUArts) Records are created, managed, retained and disposed of in an effective and efficient manner. As well as to facilitate the efficient management of the University's Records through the development of a coordinated institutional Records Management Program.

AUArts is committed to ensuring the preservation of the University's Records of permanent value and to supporting both protection of privacy and access to information.

B. SCOPE

This policy applies to:

- All AUArts employees, including board members, third party providers, and volunteers providing services on behalf of AUArts and who create, receive or maintain records in the course of their duties on behalf of the University.
- All recorded information, in whatever form or medium (paper, digital, audio-visual, graphic) created or received in the course of carrying out AUArts' mandated functions and activities.

C. POLICY STATEMENT

1. PROGRAM GOALS

- 1.1 AUArts' Records and Archives Program implements and operationalizes the creation, retention, maintenance, use and protection of AUArts information based on standards that meet the following objectives to ensure information is systematically governed.
 - a) AUArts information is captured in systems where it can be appropriately managed.
 - b) AUArts information is adequately described and documented.
 - c) AUArts information is suitably secured and preserved, with particular care taken with records containing personal information.
 - d) How long AUArts information should be kept is known.
 - e) AUArts information is accountably destroyed or transferred.

2. GENERAL

- 2.1 No AUArts information is destroyed unless:
 - a) The retention of the information is no longer required as set out in the Records Retention Schedule.
 - b) The information is transitory.
- 2.2 All information created or received for AUArts mandated functions is under the control of AUArts. However, control of archival information acquired from non-AUArts sources is subject to agreement between AUArts and the donor.
- 2.3 AUArts capture and management systems maintain a high level of reliability and integrity and are designed to be comprehensive in scope and systematic in application.
- 2.4 AUArts captures and manages its information so that all information policy and management processes are applicable at any point from capture to destruction, regardless of the age, location, format, or custody of the information.
- 2.5 The function/activities for which information was created, received, and subsequently used are key contextual information for the capture and management of information. Function/activity attributes are identified and associated with records at every stage of the information capture and management process and identified in the Records Retention Schedule.

3. CAPTURE AND MANAGEMENT

- 3.1 AUArts captures information when the information becomes part of the information management system and placed under the controls of the Records Management Program.
- 3.2 AUArts captures all information it creates and receives that puts into effect and/or documents activities completed as part of its mandated business functions. Information that does not contribute to these purposes is not captured.

4. TRANSITORY INFORMATION

- 4.1 Transitory information is information of temporary usefulness that is needed only to complete a routine action or prepare a subsequent record. A record's content and context determine whether it is transitory, not its form or format. The following types of information are considered transitory and may be destroyed at any time without reference to the Record Retention Schedule, either before or after capture into the information management system:
 - a) Facilitative or short-term items, such as
 - i. Appointment diaries, calendars, scheduling, or reminder information such as slips or tags that contain no substantive information about the event or transaction.
 - ii. System verification printouts or regular verification reports.
 - iii. Received promotional or advertising material.
 - iv. Personal or unsolicited notices, requests, emails, etc.
 - v. Non-substantive, routine messages, in any format, including attachments, that are of only passing value and not needed to document an action or decision.

- b) Rough notes, drafts or working documents consisting of preliminary, incomplete, or unused information recorded or gathered for the purposes of creating other documents, aiding memory, facilitating a routine action, or recording exploratory thoughts, such as
 - i. Rough calculations or spreadsheets
 - ii. Working drafts of prose or graphics
 - iii. Supporting background notes or papers.
- c) Duplicate information, such as copies or duplicates of existing records made for purposes of convenience or reference, backup tapes or data stores duplicating captured information.
- d) Systems information consisting of information of temporary usefulness generated for, or resulting from, computer systems operations, including
 - i. system-generated files and reports generated for reference that are not needed for the system's operations or another purpose;
 - ii. data that is gathered automatically by a system, including from connected devices, and is either not used or used for automatically generated reports;
 - iii. empty folders and empty (zero-byte) files that have no further use; and
 - iv. documents used only to input information into a computer system.
- e) Published material which does not form an integral part of the record.

5. RETENTION, HANDLING AND CONTINUITY

- 5.1 AUArts information is assigned a maximum retention period in accordance with business and legal and regulatory requirements of the functions and activities they support and/or document. Retention periods are set out in the Records Retention Schedule.
- 5.2 Information is considered closed after Y+1. Once information is closed, it is considered immutable. Measures are taken to ensure that the master record is not altered or modified.
- 5.3 Transfer, continuity management, and destruction of records is completed according to the Retention Schedule.
- 5.4 Information is kept under conditions and in formats that ensure the integrity, authenticity, reliability, and usability of the information over the entire period of retention.
- 5.5 When AUArts information meets or exceeds its retention period, is not designated as permanent archival information, and is approved for destruction, it is destroyed securely and completely as soon as possible.

6. RIGHT OF ACCESS AND LEGAL HOLDS

- 6.1 Regardless of a pending destruction according to the Record Retention Schedule or status as transitory record, no information will be destroyed or altered if it is subject to the following:
 - a) *Right of Access hold*: the Access and Privacy Officer has declared that the information is relevant to a current right of access or correction request; or
 - b) *Legal hold*: the Executive Director, People and Culture has directed that the information is relevant to pending litigation or legal discovery.

7. PERMANENT/ARCHIVAL INFORMATION

- 7.1 Information that is identified as permanent archival information will be clearly identified as such, and upon creation of an AUArts Archives Program will be transferred accordingly or if no Archive Program is developed the permanent archival information will be maintained by the Information Owner for review and preservation.

D. ROLES AND RESPONSIBILITIES

1. THE UNIVERSITY SECRETARY

- 1.1 Responsible for the overall management and coordination of the AUArts Records and Archive Program.
- 1.2 The University Secretariat will:
 - a) Ensure that information capture and management procedures are designed, developed, and maintained as required.
 - b) Compile and report on program performance.
 - c) Provide resources and training to AUArts employees, including board members, third party providers, and volunteers to ensure they adequately understand and can implement all aspects of the Records Management Program.

2. MEMBERS OF THE PRESIDENT'S CABINET

- 2.1 Cabinet members are responsible for implementing information capture and retention within their functional areas and are accountable for adherence with the Records Management Program by their employees and contracted third parties.
- 2.2 Cabinet members will:
 - a) Supports their staff members' awareness of and training on the AUArts Records Management Program.
 - b) Report gaps in information capture and retention within their functional area to the University Secretariat.
 - c) Report any new record series that require classification.
 - d) Assign a Records Management Coordinator in their area to be the key contact for the University Secretariat.

3. ALL EMPLOYEES, INCLUDING BOARD MEMBERS, THIRD PARTY PROVIDERS AND VOLUNTEERS

- 3.1 Be familiar with and adhere to this Policy.
- 3.2 Capture, manage, access, release and protect information in their custody or control according to this Policy and other related University policies and procedures.
- 3.3 Refer to the University Secretariat for all decisions about collection, use, disclosure, and access that are not clearly directed by the Policy, Handbook or Record Retention Schedule.

E. DEFINITIONS

Permanent Archival Information:	Records and other documentary objects that have been identified of ongoing business and/or historical value and that require long-term preservation.
Capture:	Bringing information received or created into AUArts capture and management systems through facilities and equipment so that records and archive practices can be applied. This mainly involves tagging or labelling information using descriptors.
Custody and Control:	Custody is the effective physical possession of information; control is responsibility and accountability for making decisions about the handling of information, regardless of whether AUArts has custody of the information. AUArts has control over any information it has created or received as part of its mandated functions and activities, regardless of the location of the information or the time of collection, use, or disclosure.
Format:	For digital information, the arrangement of data for computer input or output, such as the number and size of fields in a record or the spacing and punctuation of information in a report, dictated by the application program and/or operating system under which the digital information was created and/or stored. Examples of formats: ASCII, PDF, JPG, HTML, XML.
Information:	Information that has been recorded in some format.
Medium:	The physical and technical device that conveys and holds readable content in a Record, including paper-based media for documents or photographs, celluloid film, CDs, a resident hard drive, or server drives, or stone tablets.
Metadata:	Descriptive data about information or records so that people know what they are about, understand their context and purpose, can find them easily when required, and manage them for regulatory and compliance purposes. Metadata can be used to identify, authenticate, and contextualize information and the people, processes and systems that create, maintain, and use it. It allows users to control, manage, find, understand, and preserve information over time.
Migration:	Migration occurs when an information package is moved from one medium or location to another.
Permanent Archival Records/Materials:	Records and other documentary objects that have been identified of ongoing business and/or historical value and that require long-term preservation.
Record:	Recorded information regardless of medium or characteristics, which the University creates, receives or maintains

F. RELATED POLICIES

- Access, Privacy and Security Policy*
- IT: Information Security Policy

G. RELATED LEGISLATION

- Access to Information Act (Alberta)
- Protection of Privacy Act (Alberta)
- Post-Secondary Learning Act (Alberta)

H. RELATED DOCUMENTS

- IT: Backup, Retention and Disposal Procedure
- IT: Information Classification Procedure
- Record Retention Schedules*
- Digital Records Conversion, Migration and Continuity Procedure*
- Information Governance Activity*
- Records Management Best Practice Handbook*

*under development, please contact the University Secretariat.

I. REVISION HISTORY

Date (mm/dd/yyyy)	Description of Change	Sections	Person who Entered Revision (Position Title)	Person who Authorized Revision (Position Title)
08/18/2025	New Policy	All	University Secretariat	President and CEO