



POLICY STATEMENT

Policy Name	Records Management		
Policy #	809	Category	Information Management
Policy Sponsor(s)	Associate Vice-President, Strategy	Previous Revision Date	May 25, 2011
Policy Approved by	President and CEO	Issue or Revision Date	May 9, 2022
Procedures Approved by	Vice-President, Advancement and International	Review Date	May 2027

See the related [PROCEDURES](#).

PURPOSE

The purpose of this policy is to outline a structure for the effective management of Saskatchewan Polytechnic records, including maintaining a records retention and disposition schedule and defining responsibilities for records management. Effective records management will help to ensure Saskatchewan Polytechnic records are created, used, disposed of, and preserved in an appropriate manner, compliant with relevant legislation and to ensure access is provided to records in compliance with *The Local Authority Freedom of Information and Protection of Privacy Act* (the Act).

SCOPE

This policy applies to all Saskatchewan Polytechnic employees and its Board of Directors.

All official Saskatchewan Polytechnic records will be retained and/or disposed of in accordance with this policy. Records not referenced will be managed in accordance with any applicable laws or regulations and any established and documented organizational and/or departmental guidelines.

GUIDING PRINCIPLES

1. Effective records management is important for:
 - a. preserving and making accessible documents that support the functions and activities of Saskatchewan Polytechnic
 - b. supporting effective decision-making
 - c. preserving corporate memory
 - d. ensuring legal and public accountability
 - e. managing risk to the organization associated with inadvertent or inappropriate destruction of information
 - f. utilizing space efficiently
2. Any record created or received by Saskatchewan Polytechnic employees or its Board of Directors in the course of their duties, regardless of its format, is the property of Saskatchewan Polytechnic.
3. Saskatchewan Polytechnic recognizes its responsibilities under the Act, and that, pursuant to the Act, any person may apply to access any record Saskatchewan Polytechnic produces or acquires during the course of delivering its programs and services.

4. Saskatchewan Polytechnic also recognizes its duty to maintain its records only for the duration of their useful lifetime, preserve its records that have historical significance, and protect certain records that are exempt from disclosure under the Act.
5. Saskatchewan Polytechnic employees must protect personal information about an identifiable individual in accordance with the requirements set out in the Act and Policy 1204 Confidentiality of Personal Information and Records of Applicants and Students.

POLICY

1. Saskatchewan Polytechnic employees and its Board of Directors will ensure the integrity of all official Saskatchewan Polytechnic records.
2. The record holder is responsible for the retention and disposition of records.
3. All Saskatchewan Polytechnic records must be stored in a secure and/or suitable environment, be accessible and retrievable to those with authority to access them, and reasonable efforts must be made to protect against accidental destruction or loss.
4. Saskatchewan Polytechnic records that have enduring legal, operational or administrative significance will be preserved for as long as they are required.
5. Saskatchewan Polytechnic records that have historical significance will be retained permanently.
6. Records containing confidential information or personally identifiable information must be stored securely in a Saskatchewan Polytechnic-maintained location (virtual and physical) and in a manner to ensure appropriate access and recovery of the record can be maintained. Personal drives that are not associated with Saskatchewan Polytechnic should not be used (e.g., home office filing systems, externally hosted drives, etc.).
7. Enhanced security measures must be followed during the storage, handling, transportation and disposal of records containing personal information or confidential business information.
8. Disposal of Saskatchewan Polytechnic records must be appropriate, timely, authorized by the appropriate manager, and carried out in a secure/confidential manner.
9. Records which are the subject of an access request, an audit or litigation should be maintained until the request, audit or litigation is complete, regardless of the set retention period.
10. Records must be accessed and used only for their intended purpose. Records must not be accessed or manipulated for personal gain or out of personal interest or curiosity.
11. Any unethical, malicious or unauthorized disclosure or disposition of Saskatchewan Polytechnic records will not be tolerated and will be dealt with according to relevant policies and/or code of conduct.

ROLES AND RESPONSIBILITIES

All Saskatchewan Polytechnic employees are responsible for managing the records they create, ensuring they are stored securely according to institutional standards and disposing of them properly in accordance with this policy and procedures.

The **Out-of-Scope Manager** in each department is responsible for establishing and maintaining an effective filing structure for their department and ensuring staff are aware of best practices in the area of records management.

The **Official Record Holder** is responsible for the life-cycle management of the record including approving and documenting destruction of records that have met their retention. The Official Record Holder is also responsible for informing the Sponsor of this policy of any changes in legal or business requirements affecting the retention of records assigned to their position so the retention schedule can be updated as appropriate.

The **Policy Sponsor** for this policy is responsible for recommending best practices in the area of records management and reviewing and updating the retention schedule on a regular and as-needed basis.

DEFINITIONS

Official Record means a record that documents the operations and services provided by Saskatchewan Polytechnic. These records have a type, retention period and final disposition.

Permanent Record means any record that has enduring fiscal, legal, administrative and archival value and is assigned a permanent retention period.

Personal information means personal information about an identifiable individual that is recorded in any form, as more specifically defined in Section 23 of *The Local Authority Freedom of Information and Protection of Privacy Act*.

Record means a record of information in any form and includes information that is written, photographed, recorded or stored in any manner, but does not include computer programs or other mechanisms that produce records [ref: *The Local Authority Freedom of Information and Protection of Privacy Act*]. Examples of records include emails, information stored in any electronic records management system such as Banner, electronic databases, documents, letters, memorandums, handwritten notes, agreements, papers, manuals, reports, journal books, drawings, sticky notes, etc.

Record Holder is the department, office or position responsible for the creation, distribution, use, maintenance, and disposition of a record. A record holder is responsible to ensure that appropriate security measures are in place when managing or disposing of records. The responsible out-of-scope manager has ultimate accountability for a division's official records and is considered the **Official Record Holder**.

Transitory Record means a record of temporary usefulness that is needed only for a limited period of time, to complete a routine task, or to prepare an ongoing document. Transitory records are not required to meet statutory obligations or to sustain administrative or operational functions. Once they have served their purpose, they should be destroyed. Examples of transitory records include duplicate copies, drafts and working materials, meeting notes after official minutes have been approved, telephone messages, print or electronic mail messages of short-term value, publications from outside Saskatchewan Polytechnic, advertising mail, blank forms, etc., that have no further use.

Transitory records that have been substantially annotated (altered with hand-written or other comments or notes) that may have future value to Saskatchewan Polytechnic will be filed with the master version.

RELATED POLICIES/DOCUMENTS

Policy 1204 Confidentiality of Personal Information and Records of Applicants and Students

APPLICABLE LEGISLATION OR REGULATIONS

The Local Authority Freedom of Information and Protection of Privacy Act