



# COLLEGE OF THE NORTH ATLANTIC

## OPERATIONAL PROCEDURE

### TOPIC: RECORDS AND INFORMATION MANAGEMENT

<b>Procedure No.</b>	PA-603-PR	<b>Division</b>	Corporate Services
<b>Supersedes</b>	n/a	<b>Board Policy Ref.</b>	GP-GR-807
<b>Related Policy</b>	PA-603	<b>Effective Date:</b>	June 22, 2021

#### 1.0 Legislative Context

This procedure is aligned with the requirements of the records management legislation that applies to College of the North Atlantic. Within the Government of Newfoundland and Labrador, records management legal and regulatory requirements can be found in the [Management of Information Act](#), the [Access to Information and Protection of Privacy Act, 2015](#).

College unit leaders maintain all record series for which they are the office of primary responsibility to ensure compliance within this context as well as any other Act or regulation that is binding or imposes restrictions on the record series.

#### 2.0 Definitions

**Access and Privacy Office** The college unit responsible for administering the [Management of Information Act](#), and the [Access to Information and Protection of Privacy Act, 2015](#) for the college.

**Active Record** A record needed to perform current college operations or ongoing college business, is consulted frequently, and it must be conveniently available for immediate reference.

**Archival Retention** A method of disposition for official college records where these records will be permanently retained by The Rooms Provincial Archives when the college has fulfilled its

obligations to retain these records.

<b>College Record</b>	Information created or received in the course of conducting college business and may be recorded or stored in any form. All college records are the property of the college.
<b>College Unit</b>	Academic or administrative areas at the college, including but not limited to: faculties; departments; divisions; schools; campuses; or offices.
<b>Confidential Information</b>	<p>Any recorded information about an individual or an entity, that if disclosed could reasonably be expected to:</p> <ul style="list-style-type: none"><li>• Place either the individual or the entity at risk of criminal or civil liability.</li><li>• Damage the individual or entity's financial standing, employability, privacy or reputation.</li><li>• Be harmful to the individual or public safety.</li><li>• Reveal local public body confidences or advice from officials.</li><li>• Be harmful to the economic interests of the college or third party individuals or organizations.</li></ul>
<b>Control</b>	The power or authority to make decisions concerning the use and disclosure of a college record.
<b>Custody</b>	Physical possession of a college record.
<b>Destruction</b>	The process of eliminating or deleting records, beyond any possible reconstruction.
<b>Disposition</b>	The range of processes associated with implementing records retention, destruction or transfer decisions, which are documented in records retention and disposal schedules.
<b>Electronic Record</b>	Information created, recorded, transmitted or stored in digital form or in another intangible form by electronic, magnetic or optical means or by any other means that has capabilities for creation, recording, transmission or storage similar to those means.

<b>General Information</b>	Data that has been given value through analysis, interpretation, or compilation in a meaningful form, which is not personal information of an identifiable individual.
<b>Government Records Committee</b>	<p>A committee established by the <a href="#">Management of Information Act</a> with authority to:</p> <ul style="list-style-type: none"><li>• Establish and revise schedules for the retention, disposal, destruction or transfer of records</li><li>• Make recommendations to the Minister respecting government records to be forwarded to the archives</li><li>• Establish disposal and destruction standards and guidelines for the lawful disposal and destruction of government records (<a href="#">see Records Disposal Services</a>)</li><li>• Make recommendations to the Minister regarding the removal, disposal and destruction of records</li></ul>
<b>Important Decision</b>	A decision that has a significant or long-term impact on the high value activities or direction taken by the College in the fulfillment of its mandate.
<b>Office of Primary Responsibility</b>	The designated college unit that maintains the integrity of college records in accordance with an approved Records Retention and Disposal Schedule.
<b>Official College Record</b>	The record copy that is retained for administrative, fiscal, legal and research requirements and is managed in accordance with an approved Records Retention and Disposal Schedule.
<b>Personal Information</b>	Recorded information about an identifiable individual.
<b>Records Management</b>	Records management is the field of management responsible for the systematic control of college records from their creation or receipt through to their distribution, use, maintenance and final disposition. Under <a href="#">Management of Information Act</a> , the permanent head of a public body shall develop, implement and maintain a record management system for the creation, classification, retention, storage, maintenance, retrieval, preservation, protection, disposal and transfer of government records.

<b>Records Retention and Disposal Schedule (RRDS)</b>	<p>A legal document that guides the management of a college record. A RRDS will:</p> <ul style="list-style-type: none"><li>• Define the content of the record series or types;</li><li>• Link the records to the college unit and business process;</li><li>• Dictate how long the records need to be retained in active and semi-active storage to meet operational and legislative requirements;</li><li>• Authorizing the disposal of information in a legal manner including either secure destruction or transfer to the Rooms Provincial Archives.</li></ul>
<b>Records Series</b>	<p>A group of records (regardless of format) arranged according to a common filing system or grouped together because they relate to a particular subject or function; result from the same activity or document the same type of transaction. The retention and disposition of official college records is managed at the record series level where these records are grouped together under a common title and share the same retention period and disposition.</p>
<b>Records Series Owner</b>	<p>An individual within the Office of Primary Responsibility who is accountable for ensuring the records series is managed in accordance with an approved records retention and disposal schedule.</p>
<b>Retention Period</b>	<p>The length of time official college records are retained before they are eligible for disposition.</p>
<b>Semi-Active Record</b>	<p>A record that does not have to be made readily available in primary offices within the college unit, but still may need to be kept for the possibility of future use or reference.</p>
<b>Transitory College Record</b>	<p>A record of temporary usefulness in any format or medium having no ongoing value beyond an immediate and minor transaction or the preparation of a subsequent record. Transitory records can be securely destroyed when no longer of value without authorization of the Government Records Committee. For more information <a href="#">Transitory Records FAQ</a>.</p>
<b>Vital Record</b>	<p>Any official college record containing information essential to</p>

the college's continuing or resuming its operations in the event of a disaster, supports the college's legal or financial position, or is deemed to be vital by regulation or statute.

### 3.0 Roles and Responsibilities

#### 3.1 All Members of the College Community:

- A. Must create records that document decisions of college transactions and operations in accordance with the college's records management policies and procedures, and approved records retention and disposal schedule.
- B. Manage college records they create or that are in their custody and control.
- C. Protect college records by maintaining reasonable security standards appropriate to the function and sensitivity of the record.
- D. Retain college records in accordance with approved Records Retention and Disposal Schedules. College records may not be removed from the control of the college, destroyed or otherwise disposed of.
- E. Retain transitory records only while they are required. Transitory records remain in the control of the college until they are securely disposed of.

#### 3.2 Office of Primary Responsibility / College Unit Leaders:

- A. Cooperate with the Access & Privacy Office to create and maintain appropriate practices, procedures and RRDS to manage the records series used to support the functions of their unit.
- B. Designate a records series owner for each of the record series defined with their unit.
- C. Update, as necessary, appropriate practices, procedures and RRDS when changes to a business process are made to ensure continued compliance with this policy.
- D. Ensure access to college records in the control of the unit is given minimally and in accordance with current job duties.
- E. Consult with the Access & Privacy Office on any questions regarding the application or interpretation of the college's records management policies, procedures, or governing legislation.

- 3.3 Access and Privacy Office:
- A. Develop, implement and maintain a comprehensive records management and protection program in consultation with college units.
  - B. Coordinate and implement the appropriate guidelines in compliance with the *ATIPP Act, 2015*.
- 3.4 The college's General Counsel will provide interpretation and advice on the retention schedule to ensure they continue to meet the legal needs and requirements of the college.
- 3.5 The Associate Vice-President Public Affairs has been delegated the primary responsibility for records management processes.
- 3.6 The President is accountable for ensuring that the college is compliant with the *ATIPPA, 2015*, and *Management of Information Act*.

#### **4.0 Related Policies and Procedures**

- Board of Governors' Policies; GP-GR-807 & GP-RR-904
- Access to Information Requests CS-321
- Privacy Breach; CS-320 & CS-320-PR
- Student Records; SS-206 & SS-206-PR
- Student Discipline; SS-202 & SS-202-PR
- Employee Discipline; HR-414 & HR-414-PR
- Electronic Information System Use; IS-501 & IS-501-PR
- Electronic Mail (Email) and Internet Usage; IS-502 & IS-502-PR
- Personal & Confidential College Data Encryption; IS-503 & IS-503-PR
- Mobile Computing Devices Procurement & Usage; IS-504 & IS-504-PR
- Network User Accounts; IS-505 & IS-505-PR

Approval History	
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