KPU | KWANTLEN POLYTECHNIC UNIVERSITY

IM10 Records and Information Management Procedure

Category: IM (Information Management)
Effective Date: January 1, 2026
Approving Jurisdiction: President
Administrative Responsibility: President

A. Definitions

1. **Academic Unit:** Academic organizational unit within a teaching or non-teaching faculty.
2. **Access:** The right, opportunity, or means of finding, viewing, using, or retrieving Information Assets.
3. **Appraisal:** The evaluation of a Records Series or an individual Record's value for retention or archival purposes, based upon its current or predicted use(s) for administrative, legal, regulatory, fiscal, research, evidentiary, or historical purposes.
4. **Archives:** A unit within the University responsible for collecting, organizing, preserving, and providing Access to Records of enduring value.
5. **Authenticity:** The sum of qualities of a Record that establishes the origin, reliability, trustworthiness, and correctness of its content.
6. **Availability:** The ability to retrieve Records in a timely, efficient, and accurate manner.
7. **Chain of Custody:** The succession of offices or persons responsible for the capture, custody, control, transfer, analysis, and disposition of Records.
8. **Compliance:** The manner and duties in which the University conducts its activities in accordance with the requirements of applicable internal and external authorities.
9. **Destruction:** The definitive obliteration of a Record beyond any possible reconstitution.
10. **Disposition:** The final action taken per the Records Retention Schedule, concluding with Destruction, transfer, or permanent preservation of a Record.
11. **Employee:** A person ordinarily employed by the University that includes all administrators, Faculty, casual employees, student assistants, unionized staff, and co-op students.
12. **Faculty:** Academic organizational unit that includes more than one Academic Unit.

13. **Information:** Data that has been given value through analysis, interpretation, or compilation in a meaningful form.

14. **Information Asset:** A body of Information, defined and managed as a single unit so it can be understood, shared, protected and utilized efficiently. Information Assets have recognizable and manageable value, risk, content, and lifecycles, and includes Information and Records.

15. **Information Governance:** A strategic, cross-disciplinary framework composed of standards, processes, roles, and metrics that hold the University, Employees, and Non-employees accountable for the proper handling of Information Assets. The framework helps the University support the University's vision and mission, facilitates compliance with external requirements, and minimizes risk posed by sub-standard information handling practices.

16. **Information Lifecycle:** The stages through which Information passes, typically characterized as creation or collection, processing, dissemination, use, storage, and Disposition, to include Destruction and deletion.

17. **Integrity:** The quality of a Record that is complete and deemed to have a reasonable and suitable guarantee of Authenticity and Reliability from the time of creation throughout its life.

18. **Metadata:** The structured Information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage Information Assets.

19. **Non-employee:** Individuals not defined as an Employee under this Procedure (e.g. engaged in providing services and are responsible to the University, but are not in a permanent or temporary employment relationship with the University).

20. **Record:** Any recorded Information, regardless of medium or format, created, received, and maintained by the University in pursuance of legal obligations or in the normal course of the University's operations.

21. **Records and Information Management (RIM):** The field of management responsible for establishing and implementing policies, systems, and procedures to capture, create, Access, distribute, use, store, secure, retrieve, and ensure Disposition of an organization's Information Assets.

22. **Records and Information Management Program:** Program encompassing the governance, strategy, consultation, and training of Records and Information Management practice at the University.

23. **Records Retention Schedule:** A comprehensive list of Records Series titles, indicating for each series the length of time the Record is to be maintained. May also include instructions regarding retention in active office areas, inactive storage areas, and when and if such series may be destroyed or formally transferred to another entity, such as an archive for historical preservation.
24. **Records Series:** A group of related Records filed / used together as a unit and evaluated as a unit for retention purposes (e.g. personnel file consisting of an application, reference letters, benefit forms, etc.).
25. **Reliability:** The quality of being trustworthy over time.
26. **Service Unit:** Non-academic organizational units that operate and perform functions on behalf of the University.
27. **University Archivist:** University employee tasked with managing the University's historical Records documenting the history and activities of the University, and any predecessor institution, in compliance with IM10 Records and Information Management (RIM) Policy.

B. Procedures

1. Purpose

1.1. To ensure the efficient, effective, and systematic management of Information Assets as Information Assets of Kwantlen Polytechnic University (University), this procedure provides an overview of the roles involved in the Records and Information Management practice at the University, their responsibilities in managing Information Assets, and general guidance on how to deliver on those expectations.

2. Employees

2.1. All Employees have a responsibility in:

2.1.1. Delivering the efficient, effective, and systematic management of the University's Information Assets by acting in compliance with *IM10 – Records and Information Management (RIM) Policy*, and any related procedures, guidelines, and best practices.

2.1.2. Ensuring compliance with identified legislative, regulatory, fiscal, administrative, and historical requirements.

2.1.3. Engaging in training and instruction in support of these activities throughout their employment at the University as deemed necessary by the University.

2.2. As such, Employees should:

2.2.1. Seek guidance and instruction from relevant resources, such as the *IM10 – Records and Information Management (RIM) Policy*, this procedure, and available guidelines and best practices.

2.2.1.1. Where available resources do not provide relevant guidance or instruction, an Employee may seek support from their Academic or Service Unit's leadership or Records and Information Management.

3. Academic or Service Unit Leadership

3.1. Academic or Service Unit leadership has overall responsibility for ensuring the Academic Unit's, Service Unit's, and Employee's compliance with *IM10 – Records and Information Management (RIM) Policy*, and any related procedures, guidelines, and best practices. The Academic or Service Unit's leadership is responsible to:

3.1.1. Act as the key point of contact for Records and Information Management enquiries within the Academic or Service Unit.

3.1.1.1. If documentation does not address the RIM issue or concern, and the Academic or Service Unit is unable to achieve a reasonable resolution, Academic or Service Unit leadership may refer the matter to the Manager, Records and Information Management.

3.1.2. Provide functional expertise on RIM issues to other members of the Academic or Service Unit, as well as coordinating the implementation of active Records systems and retention schedules.

3.1.3. Ensure Employee compliance with RIM policy, related procedures, guidelines, and best practices.

3.1.3.1. This includes all RIM-related activities assigned during Employee on-boarding, transfers, and departures.

3.1.4. Liaise with the Manager, Records and Information Management regarding broader RIM initiatives and undertakings.

3.1.4.1. This may include, but not be limited to, participating in the RIM Community of Practice.

4. Records and Information Management

4.1. Records and Information Management is responsible for the development, delivery, and on-going maintenance of the Records and Information Management Program, which will provide a comprehensive framework of standards, procedures, and best practices that will guide, and are evidence of, informed decision-making in the creation, receipt, maintenance, use, and Disposition of Information Assets, and align and support the strategic objectives of the University. The Manager, Records and Information Management is responsible for the Records and Information Management Program which may include, but not be limited to:

4.1.1. Providing advice and guidance to Employees on implementation of RIM best practices.

4.1.2. Developing and communicating RIM requirements to Employees and ensuring compliance with those requirements as documented in *IM10 – Records and Information Management (RIM) Policy*, this and related procedures, and processes.

4.1.3. Developing tools, guidelines, job aids, playbooks, templates, and other resources to aid Employees in their RIM journey.

4.1.4. Developing and providing training and instruction to Employees in support of their RIM-related responsibilities and promoting and ensuring compliance with RIM requirements.

4.1.5. Creating and maintaining Records Retention Schedules, and support Employees in adhering to the relevant schedule(s) in the management of Information Assets.

4.2. As such, the Manager, Records and Information Management, through the establishment of *IM10 – Records and Information Management (RIM) Policy,* this procedure and related policies, procedures, guidelines, and best practices, will:

4.2.1. Respond to all RIM-related queries from Employees and coordinate RIM-related initiatives and efforts through Academic and Service Unit leadership.

4.2.2. Communicate RIM requirements to Employees and promote the importance of adherence and compliance.

4.2.3. Develop, share, and maintain all RIM-related tools and materials to all Employees, and Non-employees, as required, in support of the Records and Information Management Program.

4.2.4. Create and deliver RIM training and instruction to all Employees throughout their engagement with the University, including during the on-boarding process, Employee orientation, and their continued employment.

4.2.4.1. This includes training and instruction for existing Employees with the launch of any new RIM standards, guidelines, best practices and initiatives.

4.2.5. Coordinate RIM efforts with identified partners including, but not limited to, Information Technology and Information Security, Organization Risk Management, and Information Access and Privacy, as well as establishing and leading an alliance of key partners and interested parties in support and promotion of RIM practices (e.g. RIM Community of Practice).

5. Leadership / Governance

5.1. The President is responsible for the approval and enforcement of *IM10 Records and Information Management (RIM) Policy*, this procedure and related procedures.

5.2. Administrative responsibility for the Records and Information Management Program and practice at the University is delegated by the President to the General Counsel, and subsequently, to the Manager, Records and Information Management.

5.3. The delivery and maintenance of a Records and Information Management Program and practice by the Manager, Records and Information Management as outlined in IM10 – Records and Information Management (RIM) Policy, and this procedure and related procedures, is supported by an alliance of key partners who may provide input, guidance, insight, and recommendations on the overall implementation, on-going governance, and management of Information Assets within the University.

6. Partners

6.1. Records and Information Management is responsible for coordinating and collaborating with identified RIM-partners, including but not limited to, University Archives, Information Technology and Information Security, Organization Risk Management, and Information Access and Privacy to ensure:

6.1.1. Records with historical value are identified and transferred to an appropriate authority within the University.

6.1.2. Information Assets are managed with appropriate data classifications covering value and sensitivity, identifying the presence of confidential, vital

(essential), and personal information, and ensuring appropriate protections to minimize or mitigate potential unauthorized Access or disclosure of non-public Information.

6.1.3. Institute activities and practices to reduce the potential risk to reputation to the University in the event of an unauthorized disclosure of non-public Information.

C. Related Policy

IM10 Records and Information Management (RIM) Policy