



# THE UNIVERSITY OF WINNIPEG

**PROCEDURE TITLE:** University Records Procedures

**EFFECTIVE DATE:** September 12, 2017

**APPROVAL BODY:** University Administration

## PROCEDURE PURPOSE

To implement the University Records Policy, the Procedures outlined in this document shall be followed.

## APPLICABILITY

These Procedures apply to all University Employees.

## RESPONSIBILITY

The Provost and Vice-President, Academic, on behalf of University Administration, is responsible for the development, administration, and review of these Procedures.

## KEY DEFINITIONS

The following definitions apply to terms as they are used in these Procedures:

- **“Responsible Administrator”** means: Department heads including Vice-Presidents, Associate Vice-Presidents, Deans, Chairs, Directors, and Managers.
- **“Transitory Record”** means: a University Record of temporary usefulness that is created or received solely to complete a routine action or to prepare a subsequent University Record, and that is not required to provide evidence of the University’s administrative or operational functions.



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- **“University Record Hold Notice”** means: a notification issued by the University General Counsel or the University’s Information and Privacy Officer that suspends destruction of any University Record enumerated in the notification.

Additionally, all Definitions in the University Records Policy are incorporated into these Procedures and shall apply as fully as if they had been set out verbatim herein.

## PROCEDURE ELEMENTS

### Requirements in Respect of University Records

1. The University’s Information and Privacy Officer, in consultation with and assisted by affected Responsible Administrators, shall direct the creation and approval of University Records Retention Schedules.
2. Prior to the University’s Information and Privacy Officer approving a University Records Retention Schedule, the University Archivist shall have reviewed the University Records Retention Schedule and where appropriate may designate any University Record therein for transfer to the University Archives, and where a University Record has been so designated the University Record shall not be destroyed and shall be transferred to the University Archives.
3. University Records Retention Schedules may be amended from time to time to comply with legal or contractual requirements, or to meet compatibility or compliance requirements of other University policies.
4. Responsible Administrators shall take all reasonable measures to ensure that University Records are retained, destroyed, and transferred to the University Archives in accordance with approved University Records Retention Schedules.



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5. A University Record enumerated on an approved University Records Retention Schedule shall only be retained, destroyed, and transferred to the University Archives in accordance with that Schedule.
6. Where it is reasonable to believe that a University Record not enumerated on an approved University Records Retention may be required to provide evidence of the University's administrative or operational functions, Employees should consult with the University's Information and Privacy Officer prior to the University Record's destruction. If consulted, the Information and Privacy Officer shall provide notice of the proposed destruction to the University Archivist.
7. A Transitory Record may be destroyed once its usefulness has ceased unless affected by a University Record Hold Notice. The University's Information and Privacy Officer shall create a University Records Retention Schedule that sets out examples of common Transitory Records.
8. On the expiry of the Retention Period, a University Record containing Personal Information or Personal Health Information that is not scheduled for transfer to the University Archives shall be securely destroyed in accordance with the University's Privacy Policy.
9. Employees leaving the University or changing positions shall ensure all University Records in their custody or control are retained for their successor or otherwise placed under the custody and control of the Responsible Administrator to whom the Employee directly reports.

## **University Record Hold Notices**

1. Any Employee who receives a University Records Hold Notice shall immediately suspend destruction, including email deletion, of the



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affected University Records until notice is issued that the University Record Hold Notice is no longer in effect.

2. The Responsible Administrator(s) for the affected University Records shall take all reasonable measures to ensure the University Records are not destroyed or altered until such time as the University Record Hold Notice is not in effect.

## ASSOCIATED POLICY

- University Records Policy

## RELATED POLICIES & PROCEDURES

- University Archives Policy
- Privacy Policy

## RELEVANT DATES

**Originally Issued:** September 12, 2017

**Revised:** not applicable

**Effective:** September 12, 2017

**Scheduled Review:** Fall 2022