

**RETENTION AND DISPOSITION SCHEDULE**

Section:	Administration (AD)
Subject:	Records Management
Legislation:	<i>Alberta Evidence Act (RSA 2000 cA-18); Copyright Act, R.S.C., 1985, c.C-42; Electronic Transactions Act (SA 2001 cE-5.5); Financial Administration Act (RSA 2000 cF-12); Freedom of Information and Protection of Privacy Act (RSA 2000 cF-25); Government Emergency Management Regulation (AR 248/2007); Health Information Act (RSA 2000 cH-5); Historical Resources Act (RSA 2000 cH-9); Personal Information Protection Act (SA 2003 cP-6.5); Public Service Act (RSA 2000 cP-42); Records Management Regulation (AR 224/2001); Trade-marks Act, R.S.C. 1985, c.T-13.</i>
Effective:	May 18, 2016
Revision:	September 1, 2016 (reformatted); May 23, 2018

**APPROVED:** \_\_\_\_\_  
**President and CEO**

## POLICY

The policy of the Board of Governors is to establish a records management practice to effectively manage the lifecycle of all of SAIT’s recorded information and records, from their creation or receipt, regardless of format, for the lifecycle of the record.

## PROCEDURE

### DEFINITIONS

**Classification scheme** A system of organizing records based on function and subject. Designed to support ease of retrieval, storage, access and disposition through consistency in description and control. Classification and retention work together to provide a complete summary of the records, what they are, where they are being held and how long to be retained.

**Disposition** The final administrative action taken with regards to a record, including its destruction, transfer to another entity or permanent preservation.

*The official controlled version of this document is held in the Board of Governors Office.*

<b>Major amendment</b>	Major revisions to the Classification Scheme and/or the Retention and Disposition Schedule for records that would alter the context of the schedule.
<b>Minor amendments</b>	Minor revisions to the Classification Scheme and/or the Retention and Disposition Schedule for records that would not alter the context of the schedule.
<b>Record</b>	Information created, received and maintained as evidence by an organization or person, in pursuance of legal obligations or in the transaction of business. A record may be in any form. This includes notes, images, audio-visual recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers and papers and any other information that is written, photographed, recorded or stored in any manner, but does not include software or any mechanism that produces records.
<b>Records management</b>	Field of management responsible for the efficient and systematic control of the record lifecycle.
<b>Retention and Disposition Schedule</b>	A legal instrument that describes the records under the control of a public body, that specifies how long and where the records must be kept as they progress through the phases of their life cycles, the format in which the records must be stored, and what their final disposition will be (destruction or archival preservation) at the end of their life cycles. This is also referred to as the "Retention Schedule".

## GOVERNING PRINCIPLES

1. The Classification Scheme and the Records Retention and Disposition Schedule (the "Retention Schedule") is a living document (located on SAITNow) that must be maintained and updated to reflect changes in SAIT's operational, fiscal, policy and regulatory requirements.
2. The Records Management Services unit, Finance Department, is responsible for all aspects of records management, including managing and maintaining the Retention Schedule, and designing, implementing and providing training on records management programs and operations.

*The official controlled version of this document is held in the Board of Governors Office.*

3. Linking classification, retention and security, the Retention Schedule allows for a consistent disposition process in relation to the destruction and/or non-destruction of records.

## PROCEDURE

### A. Authority and Responsibility

1. Records Management Services will review the schedule at least twice each year, or more often as required. The review will identify any minor or major amendments requiring implementation.
2. Amendments to the schedule go into effect on the approval date. Records created following an amendment approval must use the new classification numbers and retention periods. Records that fall under the prior schedule will fall under the authority of the amended schedule unless specifically identified otherwise.
3. Each approved change is assigned a version number. Approved major changes will be assigned a new version number. Minor changes will be assigned a new sequential number with the original version (for example, Version 1.1 is a minor version of Version 1, whereas Version 2 means that a substantial change that alters the context has been approved).
4. Records Management Services is responsible for permanently preserving a master set (paper or electronic format) of SAIT's approved retention schedules.
5. Employees are responsible for regularly checking the Retention Schedule to ensure they are aware of changes and amendments to that schedule.

### B. Amendments to Existing Retention and Disposition Schedule

1. The submission of a request to Records Management Services, whether it is a new schedule proposal or an amendment to the existing schedule, starts the review process.
2. When an amendment of an existing schedule is proposed, Records Management Services will review the existing schedule in the context of the entire program, service or function in question, to determine if a new schedule is warranted or if the series or item can be amended.

*The official controlled version of this document is held in the Board of Governors Office.*

3. There are two types of schedule amendments: major amendments and minor amendments.
  - a) The Contracts and Legal Services unit, Finance Department, reviews major amendments and recommends for approval to the associate vice president, finance.
  - b) Records Management Services reviews, approves and applies minor amendments to the schedule.

### C. Creation of a New Records Retention Schedule

1. If a new retention schedule needs to be created for operational or regulatory compliance, the process includes:
  - a) Determination of retention periods, trigger events and final disposition;
  - b) Information collection and identifying record series;
  - c) Organizing and documenting record series including any *FOIP Act* references; and
  - d) Review and recommendation of approval by the Contracts and Legal Services unit to the associate vice president, finance.

### POLICY/PROCEDURE REFERENCE

AD.3.2	Records Management policy
AD.3.2.1	Records Management procedure
AD.3.2.2	Transitory Records procedure

*The official controlled version of this document is held in the Board of Governors Office.*