

Information Asset Management Policy

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Approval Authority Board of Governors	
Implementation Authority General Counsel	
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- 1 Purpose** This policy outlines the principles that govern the manner in which Information Assets are managed and protected.
- 2 Scope** This policy applies to Information Assets.
- 3 Definitions** In this policy:
- a) “Academic Staff Member” means an individual who is engaged to work for the University and is identified as an academic staff member under Article 1 of the collective agreement between the Faculty Association and the Governors of the University of Calgary in effect at the relevant time.
 - b) “Appointee” means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments and visiting researchers and scholars.
 - c) “Business Information Assets” mean Information Assets that relate to the University’s administrative functions, including its services, operations, finances, transactions, facilities, and student records.
 - d) “Control” means the responsibility for managing the access, handling, use and disposition of Information Assets.
 - e) “Custody” means the responsibility for storing Information Assets.
 - f) “ELT Member” means the President, a Vice-President or the General Counsel of the University.
 - g) “Faculty Association” means the Faculty Association of the University.

- h) “FOIP” means the Freedom of Information and Protection of Privacy Act (Alberta), as amended.
- i) “Health Information Assets” mean any “health information”, as that term is used in the HIA, which is in the Custody or under the Control of the University.
- j) “HIA” means the Health Information Act (Alberta), as amended.
- k) “Information Assets” mean information in the Custody or under the Control of the University, in any format or media, which relates to University’s administrative functions, including its services, operations, finances, transactions, facilities, and student records, or to teaching, scholarly, research or clinical activities.
- l) “Information Asset Management Committee” means the committee that is responsible for overseeing the management and protection of Information Assets.
- m) “Information Custodian” means an individual who manages any physical or electronic system that receives, creates, stores, handles or disposes Information Assets.
- n) “Information Security Classification Standard” means the University’s information security standard, OSP IM010, as amended.
- o) “Information Steward” means:
 - i. for Business Information Assets, the SLT Member (or their designate) who is responsible for the business processes in their faculty, functional area or department through which Business Information Assets are received, created, stored, handled or disposed;
 - ii. for Scholarly Information Assets, the individual who is assigned responsibility by the Information Trustee (for such Scholarly Information Assets) for the business processes through which the Scholarly Information Assets are received, created, stored, handled or disposed; and
 - iii. for Health Information Assets, the manager of the health clinic that receives, creates, stores, handles or disposes the Health Information Assets.
- p) “Information Trustee” means:
 - i. for Business Information Assets, the ELT Member who has decision-making authority with respect to Business Information Assets for their functional area or department;
 - ii. for Scholarly Information Assets, the Academic Staff Member or Appointee who has decision-making authority with respect to Scholarly Information Assets received or created by them or under their direction; and
 - iii. for Health Information Assets, the medical director of the health clinic that receives, creates, stores, handles or disposes the Health Information Assets.
- q) “MaRRS” means the Master Records Retention Schedule for Information Assets, as amended.
- r) “Postdoctoral Scholar” means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising Academic Staff Member.
- s) “Scholarly Information Assets” mean Information Assets that relate to the teaching, scholarly, research or clinical activities of Academic Staff Members, Appointees or Postdoctoral Scholars.

- t) “SLT Member” means an employee who, at the relevant time, is designated as a member of the Senior Leadership Team.
- u) “UCLASS” means the University Classification System for Business Information Assets and Health Information Assets developed and maintained by University archives, as amended.
- v) “University” means the University of Calgary.

4 Policy Statement

General

- 4.1** The University recognizes the importance of protecting and managing Information Assets in order to:
- a) support University operations and teaching, scholarly, research and clinical activities;
 - b) enable informed decision making;
 - c) facilitate collaboration and accountability;
 - d) comply with applicable legal, contractual, policy and other requirements; and
 - e) preserve Information Assets for archival purposes.

Information Asset Management Committee

- 4.2** The Information Asset Management Committee is comprised of one representative from each of the following:
- a) legal services;
 - b) information technologies;
 - c) archives;
 - d) records management;
 - e) Provost or delegate;
 - f) the Research and Scholarship Committee of the General Faculties Council, as determined by that committee;
 - g) the Teaching and Learning Committee of the General Faculties Council, as determined by that committee; and
 - h) the Faculty Association.

The Information Asset Management Committee will determine other University representatives for participation on the committee on a permanent or ad hoc basis. Permanent appointments must be approved by the Executive Leadership Team.

- 4.3** The Information Asset Management Committee will oversee the management and protection of Information Assets including:
- a) in collaboration with Information Trustees, establishing and reviewing operating standards and practices relating to the receipt, creation, storage, handling, protection and disposition of Information Assets;
 - b) identifying legal, policy and other requirements relating to the management and protection of Information Assets;
 - c) coordinating risk assessment and compliance activities relating to the management and protection of Information Assets; and
 - d) in collaboration with human resources, developing training programs relating to the management and protection of Information Assets.

- 4.4** The Information Asset Management Committee will be chaired by the member from legal services. The chair of the committee will provide the General Counsel with reports on the committee's activities and findings.

Information Trustees, Stewards and Custodians

- 4.5** Information Trustees will ensure that planning within their functional areas or departments relating to the receipt, creation, storage, handling or disposition of Information Assets complies with University policies, operating standards and practices, and legal and other requirements.
- 4.6** Information Stewards will develop and maintain business processes relating to Information Assets that comply with University policies, operating standards and practices, and legal and other requirements.
- 4.7** Information Custodians will manage physical or electronic systems that receive, create, store, handle or dispose Information Assets in accordance with University policies, operating standards and practices, and legal and other requirements.

Identification and Classification of Information Assets

- 4.8** Information Stewards will identify and classify Business Information Assets and Health Information Assets in accordance with UCLASS and the Information Security Classification Standard.
- 4.9** Information Stewards will identify and classify Scholarly Information Assets in accordance with discipline-specific taxonomies and the Information Security Classification Standard.

Retention and Disposition of Information Assets

- 4.10** Information Assets are retained and disposed of in accordance with the rules published in MaRRS.
- 4.11** The following factors are considered when determining retention and disposition rules for Business Information Assets:
- a) statutory and other legal requirements;
 - b) administrative requirements; and
 - c) archival value.
- 4.12** The following factors are considered when determining retention and disposition rules for Scholarly Information Assets and Health Information Assets:
- a) statutory and other legal requirements;
 - b) research value; and
 - c) archival value.
- 4.13** Retention and disposition rules for Information Assets will be approved by the General Counsel, University Archives and the Information Trustee.
- 4.14** If a disposition decision for Business Information Assets must be implemented before it has been approved and published in MaRRS, it may be provisionally approved by the University's General Counsel. The provisional approval will be limited in scope and considered an interim rule.

- 4.15** Retention periods will be extended by the University's General Counsel for Business Information Assets that are required for:
- a) an ongoing or pending dispute, grievance, claim or litigation on behalf of or against the University;
 - b) a criminal investigation;
 - c) an ongoing or pending protected disclosure investigation;
 - d) an ongoing or pending audit; or
 - e) an ongoing or pending access to information request filed under FOIP or other applicable legislation.
- 4.16** Information Assets that must be retained for a purpose described in 4.15 will be retained for the period of time determined by the University's General Counsel.
- 4.17** Information Stewards will coordinate or directly undertake disposition of Information Assets in accordance with MaRRS and other operating standards and practices and provide records documenting the disposition to legal services.
- 4.18** Legal Services will retain records documenting the disposition of Information Assets.

Protection

- 4.19** Information Assets stored in electronic form on University managed systems will be protected, to the extent reasonably possible, against storage media deterioration and software and hardware obsolescence.

Intellectual Property

- 4.20** Nothing in this policy affects the intellectual property rights an Academic Staff Member, Appointee or Postdoctoral Scholar has in Scholarly Information Assets. The intellectual property rights vested in Scholarly Information Assets are as described in the Intellectual Property Policy.

5 Responsibilities

University Departments

- 5.1** Legal services will:
- a) collaborate with archives, to revise UCLASS, as required; and
 - b) collaborate with archives, to review and revise MaRRS, as required.
- 5.2** Information technologies will:
- a) in collaboration with the Information Asset Management Committee, develop and revise operating standards and practices relating to electronic systems, servers and devices that promote the management and protection of Information Assets in accordance with University policies, other operating standards and practices, and legal and other requirements.
- 5.3** Archives will:
- a) collaborate with legal services, to revise UCLASS, as required;
 - b) collaborate with legal services, to review and revise MaRRS by providing archival appraisals of Information Assets and designating which Information Assets should be retained for archival purposes; and
 - c) have Custody of Information Assets that are permanently retained by the University.

Information Stewards

5.4 Information Stewards will:

- a) designate employees within their functional area or department to oversee the management and protection of Information Assets in accordance with University policies, operating standards and practices, and legal and other requirements; and
- b) promote and support training for the management and protection of Information Assets.

Individuals

5.5 Individuals will:

- a) comply with University policies, operating standards and practices, and legal and other requirements relating to Information Assets.

6 Related Policies [Acceptable Use of Electronic Resources and Information Policy](#)
[Intellectual Property Policy](#)
[Health Information Management Policy](#)

7 Related Operating Standards [Information Security Classification Standard](#)

8 Related Information [Master Records Retention Schedule \(MaRRS\)](#)
[University Classification System \(UCLASS\)](#)

9 References [Freedom of Information and Protection of Privacy Act](#), RSA 2000, c F-25
[Health Information Act](#), RSA 2000, c H-5

10 History

March 17, 2017	Approved. This policy replaces the Information Management Compliance Program Policy (2007), Information Asset Management Policy (2007), Information Asset Identification and Classification Policy (2007), Information Asset and Protection Policy (2007), Information Asset Security Monitoring Policy (2007), and Records Retention and Disposition Policy (2006).
April 1, 2017	Effective.
September 29, 2020	Editorial Revision. Updated Related Policies.
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