

Slide 1

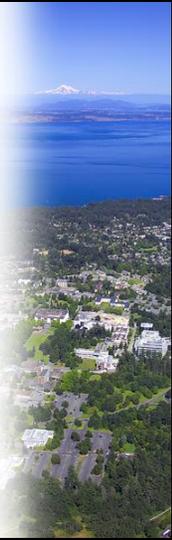


Welcome to this orientation session on **Privacy, Records Management and Information Security**.

Information is a valuable asset of any organization, and so it is important that all employees be aware of their responsibilities and the help that is available as they do their jobs.

**What can you expect to learn?**

- Awareness of key principles of privacy, records management and information security;
- Understand your responsibilities;
- Recognize privacy, information security and records management issues in your workplace; and
- Know who to ask for further information.



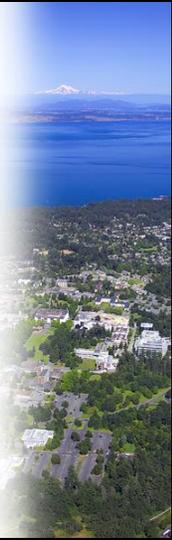
What can you expect to learn?

In this session we will focus on these four elements:

- Awareness
- Responsibilities
- Issues
- Resources

## What Is Privacy?

- Privacy is the right of an individual to control his or her own personal information.



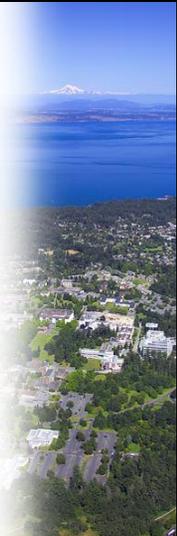
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### What is privacy?

The first concept to look at is privacy – what do we mean when we talk about privacy, both in the context of the University and more generally. At its essence it is an individual right that must be respected.

## Personal Information?

- Personal Information is “information about an identifiable individual.”



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### Personal information

At the base of this is the idea of personal information – and how that is defined. Note that personal information does not include employee’s UVic contact information

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**What does personal information look like?**

It is recorded information about an identifiable individual – includes and IP address and student email address

It includes Student names, age, home address and phone number

It also includes the unique identifiers you see displayed here – such as

- Employee number
- Student number
- Race or ethnic origin
- Medical information
- Marital status
- AND religion



## Legislation

Purposes of the *Freedom of Information and Protection of Privacy Act* are:

- to make public bodies more accountable; and
- to protect personal information by right of access and preventing unauthorized collection, use and disclosure.

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## Legislation

The Freedom of Information and Protection of Privacy Act is the governing legislation for personal information at the University.

There are two essential purposes of that Act with regards to personal information:

- Accountability
- AND Protection of an individual's rights



**University's Commitment**

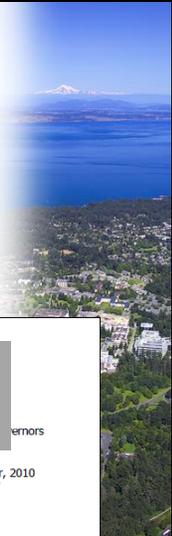
**Protection of Privacy Policy**

The university will manage all Personal Information in accordance with FIPPA and the University Act.

**University Policy No. GV0235**  
<http://www.uvic.ca/universitysecretary/assets/docs/policies/GV0235.pdf>

Supersedes: June 2008  
Last Editorial Change: December, 2010  
Mandated Review: January 2017

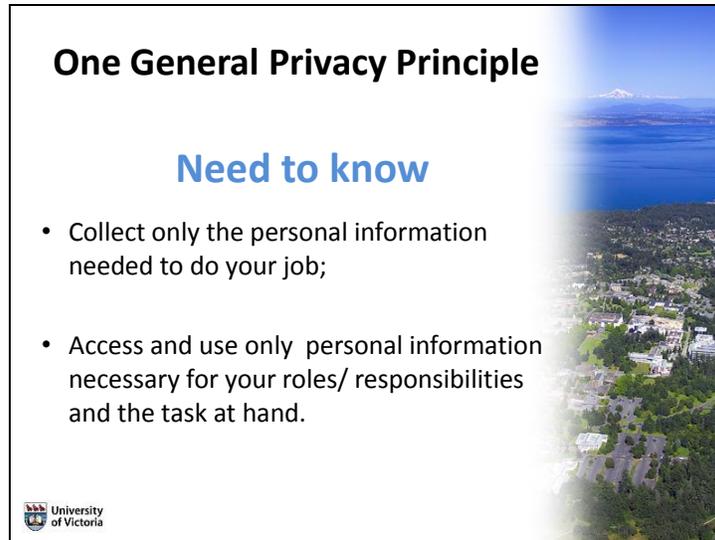
**Associated Procedures:**  
[Procedures for Responding to a Privacy Incident or Privacy Breach](#)



**The University expresses its commitment to these rights with a dedicated policy on Privacy.**

You can find this policy on the University Secretaries website

<http://www.uvic.ca/universitysecretary/assets/docs/policies/GV0235.pdf>



**One General Privacy Principle**

**Need to know**

- Collect only the personal information needed to do your job;
- Access and use only personal information necessary for your roles/ responsibilities and the task at hand.

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**One essential Privacy principle** used here at the University is the Need to Know principle.

This is expressed in two ways:

1. Limited Collection
2. AND Limited access

## Need To Know

Need to know is  
on your role,  
not your position  
in the hierarchy



I get to see  
everything, I'm  
really important

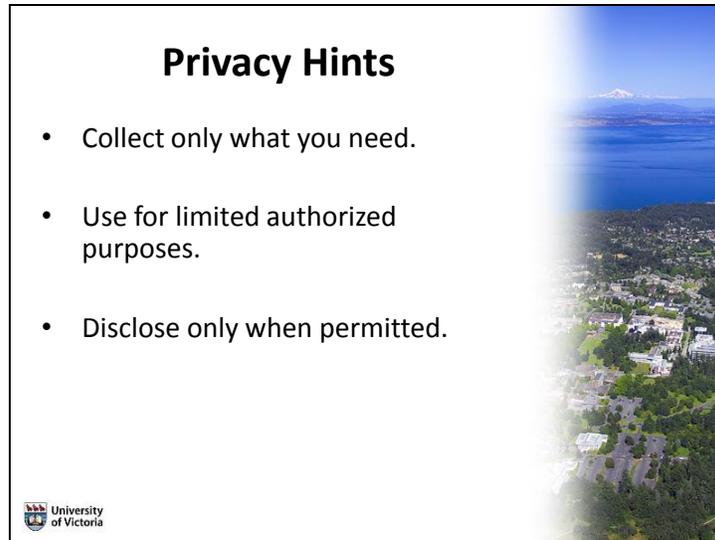


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The slide features a background image of a coastal town and mountains. The text is centered, and the man's sign is a key visual element.

Note that “**Need to know**” is based on what you do, not who you are.

Need to know is based on your role, not your position in the hierarchy



**Privacy Hints**

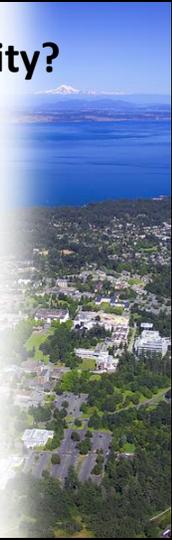
- Collect only what you need.
- Use for limited authorized purposes.
- Disclose only when permitted.

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**Here are some essential things to remember when dealing with personal information:**

- o Collect only what you need.
- o Use the information for only the purpose it was collected.
- o Do not disclose personal information unless you are authorized to do so.

You will find a link to tips for handling information in the office on the webpage where this video resides.

An aerial photograph showing a city with green trees and buildings, situated next to a large body of blue water. In the background, there are mountains under a clear blue sky.

## What Is Information Security?

- Protection of information and systems from risks:
  - unauthorized creation, collection, access, use, disclosure, disruption, modification, or destruction.

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### What is Information Security?

Information is an asset to the university and it supports the “business” of education, research, and administration. Information Security is the protection of the University’s Information and systems from risks such as these:

- unauthorized creation,
- collection, access,
- use,
- disclosure,
- disruption,
- modification, or destruction.

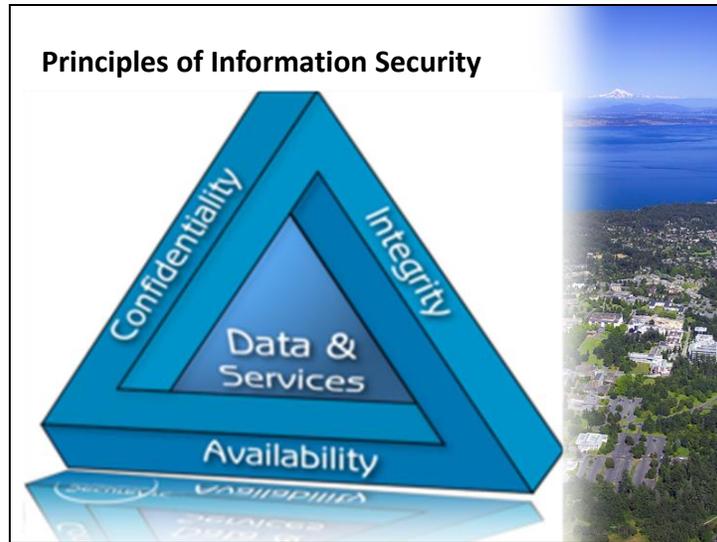


The principal goal of information security is to protect *the confidentiality, integrity and availability* of information from harm.

**Confidentiality** is assurance of data privacy. Only the intended and authorized recipients may read the data. Disclosure to unauthorized entities, whether it is malicious and intentional, or accidental is a confidentiality violation.

**Integrity** is assurance of data non-alteration. Data integrity is having assurance that the information has not been altered in transmission or in storage. It refers to information being complete and accurate.

**Availability** is assurance in the timely and reliable access to data and services for authorized users. It ensures that information or resources are available when required and in the manner required.



These principals together are known as the CIA Triad.



## University's Commitment

### Information Security Policy

The university is committed to creating a secure yet open computing environment in which the University Community can teach, learn, conduct research and perform administrative functions.

**University Policy No.:** IM7800  
<http://www.uvic.ca/universitysecretary/assets/docs/policies/IM7800.pdf>

**Policy No:** IM7800  
**Area:** Information Management  
**Authority:** Board of Governors  
**Effective Date:** January 1, 2010  
**Status:** New  
**Last Change:** June, 2012  
**Review:** January, 2017

**Associated Procedures:**  
[Procedures for Responding to an Information Security Incident](#)  
[Procedures for Addressing Security Vulnerabilities of University Information Resources and Information Systems](#)  
[University Information Security Classification Procedures](#)  
[Procedures for Responding to the Loss or Theft of a Mobile Computing Device](#)

The **University's Information Security Policy**, expresses the University's commitment to create a secure yet open computing environment. The complete policy is available on the University Secretary website under "Policies."

<http://www.uvic.ca/universitysecretary/assets/docs/policies/IM7800.pdf>



**Security Hints**

- Use a strong password and don't share it.
- Be careful where you click – links and attachments can be dangerous.
- Protect sensitive information.
- Use mobile devices carefully.

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## Security Hints

**Use a strong password and don't share it:** Choosing passwords that are difficult to guess and easy to remember will help keep your important files and accounts secure. Choose a password with a combination of upper- and lower-case letters, numbers, and symbols. Do not use words found in any dictionary. Create a different password for each account, and change passwords regularly. Never give your password to anyone, for any reason, no matter what. UVIC will never ask you for your password.

**Be careful where you click – links and attachments can be dangerous:** Ignore unsolicited emails, and be wary of attachments, links and forms in emails, instant messaging services, and social networking sites that come from people you don't know or that seem "phishy." Avoid untrustworthy downloads from freeware or shareware sites.

**Protect sensitive information:** At the very least, your computer contains sensitive data about you (the user) and likely has stored passwords in key chains and in web browsers. Depending on your job, you may also have access to the sensitive data of others. Store restricted data on university-supported servers. Be aware of the information you have or are responsible for and ensure it is handled with care.

**Use mobile devices carefully:** Storing sensitive information on, or accessing that information from mobile devices such as laptops, mobile phones, tablet computers, or USB keys risks the security of that data. Limit the amount of information stored on mobile devices. Ensure your mobile devices are password-protected, encrypted, and set to automatically lock after a timeout period. Never leave your mobile device in an unsecured area.

We have prepared some “best practices” for sending confidential information via email – you’ll find the link to them on the page where you found this video.



## Everyone's Responsibility

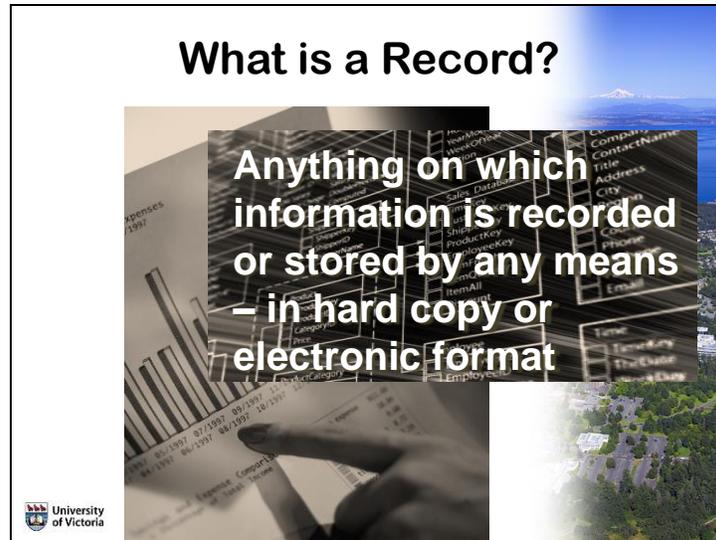
- Know what information you are responsible for and where it is stored;
- Protect personal information;
- Report privacy or security incidents or breaches to your supervisor; and
- Ask if uncertain or you don't understand.

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Users must:

- make a reasonable effort to become familiar with and to comply with the requirements of the policy and its associated procedures;
- Know what information you are responsible for and where it is stored;
- Protect personal information;
- Report privacy or security incidents or breaches to your supervisor; and
- Ask if uncertain or you don't understand.

Employees are responsible for reporting any breaches of the Act, this policy, or its associated procedures to either their supervisor or the university secretary.



Let's consider **records management** -

What is a record?

RM policy: documents created or received and retained in the day to day operations of business. These include, but are not limited to, emails, physical documents, electronic documents and images, but does not include a computer program or any other mechanism that produces records.

## What is Records Management?

“the systematic control of University records, both paper and electronic”



The image is a collage representing records management. It features a hand pointing at a document with fields like 'Expenses', 'Date', and 'Amount'. Overlaid on this are various data fields such as 'Company Name', 'Contact Name', 'Title', 'Address', 'City', 'Region', 'PCode', 'Country', 'Phone', 'MPhone', 'Fax', and 'Email'. Other fields include 'EmployeeKey', 'EmployeeID', 'Sales DataBase', 'Work Order', 'Action', 'Task', 'TaskID', 'TaskKey', 'TaskCategory', 'TaskID', 'TaskKey', and 'TaskCategory'. The background shows a cityscape with a mountain range under a blue sky. A speaker icon is visible in the bottom right corner of the collage.

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The key word here is “systematic” – the records management program provides for an accountable, transparent and consistent way for the University to effect control over all its records – paper and electronic.



**University's Commitment**

The university will manage Records in order to meet its business, fiscal, and legal requirements.

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**RECORDS MANAGEMENT POLICY**

**University Policy No: IM7700**  
<http://www.uvic.ca/universitysecretary/assets/docs/policies/IM7700.pdf>

**University Policy No:** IM7700  
**Classification:** Information Management  
**Approving Authority:** Board of Governors  
**Effective date:** January 1, 2010  
**Supersedes:** New  
**Last editorial change:**  
**Mandated review:** January, 2017

by Records  
of Information  
deletion of University Records and Information

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**PURPOSE**

The University's **Records Management Policy**, expresses the University's commitment to records management and establishes the individual roles and responsibilities.

The complete policy and its associated procedures are available on the University Secretary website under "Policies."

<http://www.uvic.ca/universitysecretary/assets/docs/policies/IM7700.pdf>



**Your top ~~ten~~ three responsibilities:**

1. Retain the records that need to be retained.
2. Ensure that confidential records are secure.
3. Dispose of the records that don't need to be retained

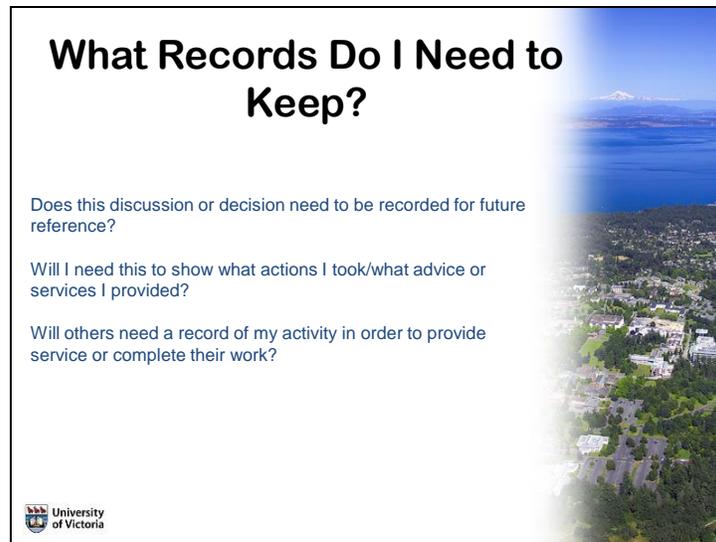
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You have many responsibilities for records as part of the university community but given the time we have with you today, there are 3 we want to highlight; 3 that you can take back to your desk

- Retain the records that need to be retained
- Ensure that confidential records are secure
- Dispose of the records that don't need to be retained

So, what records do you need to keep?



**What Records Do I Need to Keep?**

Does this discussion or decision need to be recorded for future reference?

Will I need this to show what actions I took/what advice or services I provided?

Will others need a record of my activity in order to provide service or complete their work?

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The slide features a background image of a coastal town with a large body of water and mountains in the distance. The text is overlaid on the left side of the image.

Ask yourself these questions:

- Does this discussion or decision need to be recorded for future reference?
- Will I need this to show what actions I took/what advice or services I provided?
- Will others need a record of my activity in order to provide service or complete their work?

We have a handout that will make these more clear and that you can refer to. It is available at the Records Management website and at the webpage where you started this video.



We have a handout that will make these more clear and that you can refer to. It is available at the Records Management website and at the webpage where you started this video.

<http://www.uvic.ca/library/locations/home/archives/documents/records-to-keep.pdf>



**Now that I know which records I have to keep...**

How should I organize my records?

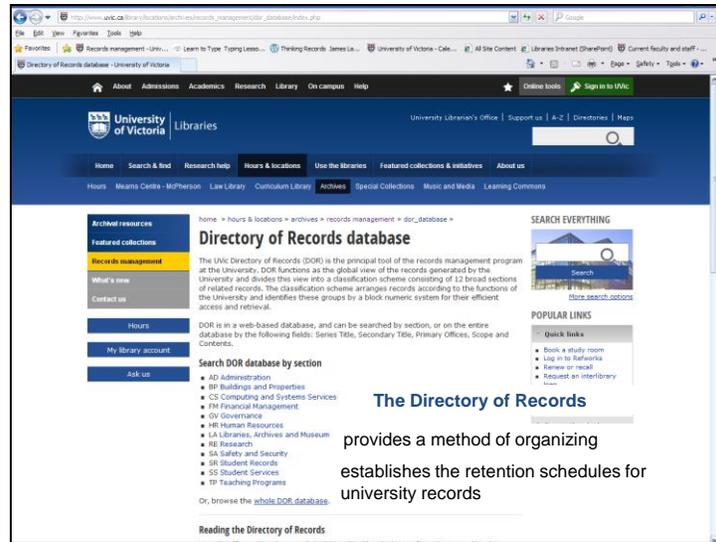
How long do I have to keep them?



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The Directory of Records is the most fundamental tool in records management – it provides the means to organize your records and the direction and authority to dispose of records.

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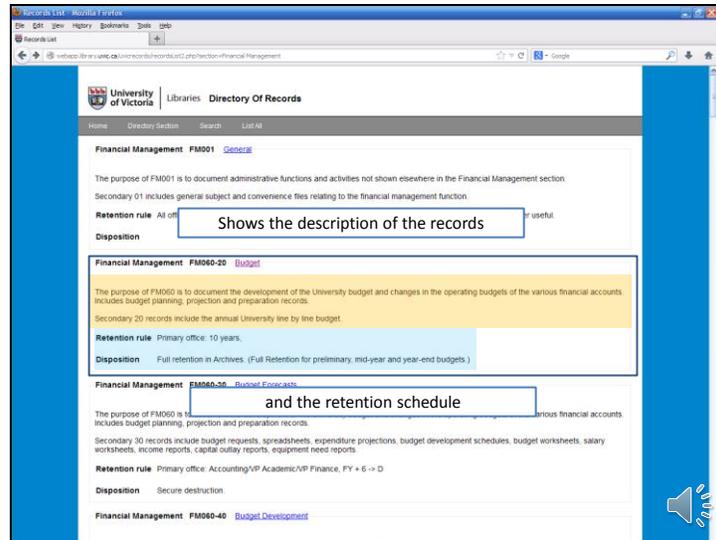


It provides a listing of the types of records held by the University used in the operations of university's business.

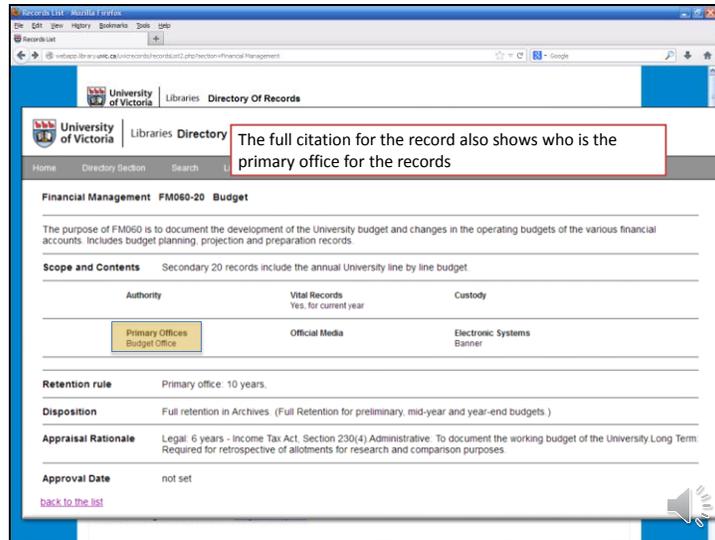
It is on the UVIC website –in the UVIC Libraries site

[www.uvic.ca/dor](http://www.uvic.ca/dor)

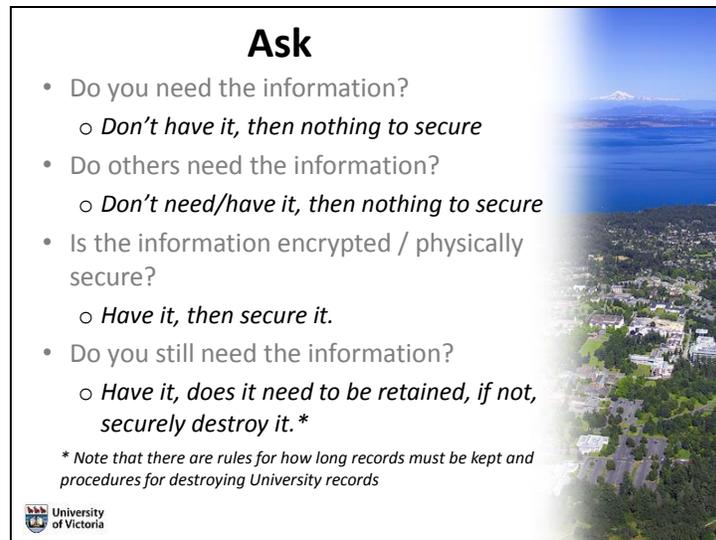
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As an example we can see here the listing of Financial records – with a description of each type of record, and its retention schedule



If we click on the link for the Budget records we can see the full citation for Budget Records with more information – including who the Primary Office is for those records.



**Ask**

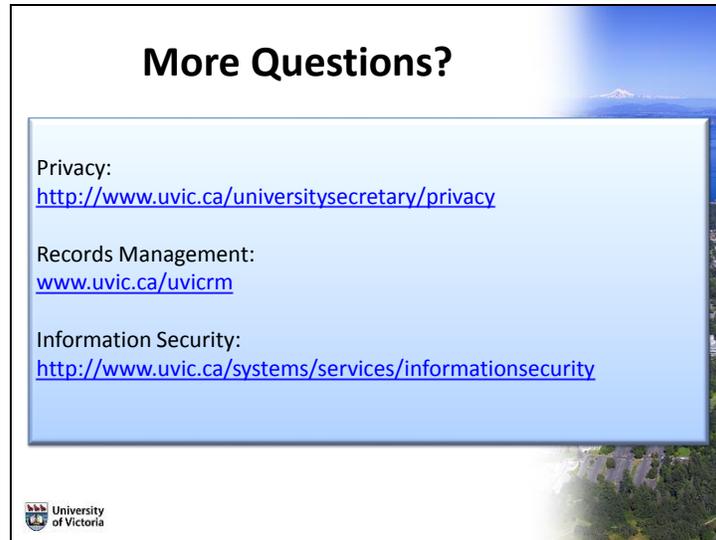
- Do you need the information?
  - *Don't have it, then nothing to secure*
- Do others need the information?
  - *Don't need/have it, then nothing to secure*
- Is the information encrypted / physically secure?
  - *Have it, then secure it.*
- Do you still need the information?
  - *Have it, does it need to be retained, if not, securely destroy it.\**

\* Note that there are rules for how long records must be kept and procedures for destroying University records



We'll leave you with this set of questions to consider as you are called upon to manage personal information.

- Do you need the information?
  - *If you don't have it, then nothing to secure*
- Do others need the information?
  - *If they don't need or have it, then nothing to secure*
- Is the information encrypted or physically secure?
  - *If you have personal information, then secure it.*
- Finally, do you still need the information?
  - *Have it, does it need to be retained, if not, securely destroy it.\**
- Please note that there are rules for how long records must be kept and procedures for destroying University records



## More Questions?

Privacy:  
<http://www.uvic.ca/universitysecretary/privacy>

Records Management:  
[www.uvic.ca/uvicrm](http://www.uvic.ca/uvicrm)

Information Security:  
<http://www.uvic.ca/systems/services/informationsecurity>

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These webpages provide more information on the subjects we've addressed and links to individuals who can answer any questions you may have.

These website addresses are also on the on the reverse of the handout mentioned previously, and on the webpage where you found this video.

We hope you find this information useful in your work here at the University of Victoria.