



## POLICY ON RECORDS MANAGEMENT AND ARCHIVES

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**Effective Date:** January 19, 2010

**Originating Office:** Office of the Secretary-General

**Supersedes /Amends:** N/A

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### PREAMBLE

Sound Records management and archival practices contribute to the effective functioning of the administrative operations of Concordia University (the "University"), facilitate compliance with its legal recordkeeping obligations, ensure adequate documentation is available to defend the rights and interests of the University and the members of the University Community, contribute to teaching and research activities and preserve and make available the history of the University to the University community and the community at large.

### PURPOSE

The University recognizes that the efficient management of its Records is necessary to support its core functions, to comply with its legal and regulatory obligations and to contribute to the effective overall management of the University. This Policy provides the framework through which this effective management can be achieved and audited.

### SCOPE

This policy applies to all academic and administrative units of the University, and to all Documents and Records of the University regardless of form or medium, including but not limited to, paper, photographs, microform, as well as technology-based Documents including but not limited to, electronic Records, audiovisual Records and all other media.

### DEFINITIONS

For the purposes of this Policy, the following definitions apply:

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“Records” means recorded information, Documents, regardless of form or medium, created, received and maintained by an enterprise, or individual in pursuance of its legal obligations or in the transaction of business.

“Archives” means documents of all kinds, regardless of their date or nature, whether analog or digital, which are produced or received by an organization in meeting its legal requirements or in the exercise of its activities and preserved for their general information value.

A “Document” is constituted of information inscribed on a medium. The information is delimited and structured, according to the medium used, by tangible or logical features and is intelligible in the form of words, sounds or images. The information may be rendered using any type of writing, including a system of symbols that may be transcribed into words, sounds or images or another system of symbols.

“Active Document” means a Document that is in current use for administrative or legal purposes.

“Semi-active Document” means a Document that is occasionally used for administrative or legal purposes.

“Inactive Document” means a Document that is no longer used for administrative or legal purposes.

A “Retention Schedule” is a group of retention rules that determine the periods of use and medium of retention of Active and Semi-active Documents and indicates which Inactive Documents are to be preserved permanently as Historical Archives, and which are to be disposed of.

### POLICY

1. This policy has been drafted within the context of, and is in compliance with, applicable archival standards and guidelines as well as with the following legislation:

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- (i) [\*The Archives Act\*](#), R.S.Q., chapter A-21.1, and all its corresponding regulations;
- (ii) [\*An Act respecting Access to documents held by public bodies and the Protection of personal information\*](#), R.S.Q., chapter A-2.1, and all its corresponding regulations;
- (iii) [\*An Act to establish a legal framework for information technology\*](#), R.S.Q., chapter C-1.1.

### Role and Responsibilities of Departments/Employees

- 2. Concordia Records Management and University Archives (the “University Archives”), under the direction of the Director of Records Management and University Archives, is responsible for the Archives and Records management functions of the University. It is the University’s official custodian of Archives and Records and serves as the official archival repository of Records that accurately represent the life of the University.
- 3. The University Archives are under the administrative jurisdiction of the Secretary-General.
- 4. Heads of Units – The heads of University academic and administrative units are responsible for ensuring that Records created and/or accumulated in their units are managed in accordance with this Policy. Unit heads may delegate staff within their unit(s) to work with the University Archives to develop and/or apply Records retention rules for their unit.
- 5. University Employees - University employees have a duty to ensure the security and management of Records that are in their care, and to comply with the policies and procedures of the University Archives, including the management and transfer of Records to the University Archives.

### Records Management program

- 6. The University Archives is responsible for maintaining a secure and efficient management program for Active, Semi-active and Inactive Documents produced by University units and their employees, from their creation or deposit to the final

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disposition of the Documents, either through their destruction or permanent conservation as Historical Archives, in conformity with University needs and legal obligations.

7. The University Archives determines the standards and conditions of University Records, particularly regarding their deposit or transfer, their removal, preservation, restoration, alienation, alteration and disposal.
8. The University Archives also provides resource services to the University community in matters pertaining to Records control and the organization, conservation and preservation of University Records in any medium including but not limited to, paper, photographs, microform, electronic Records, audiovisual Records and all other media.

### Records Management Program

9. The Records Management Program of the University includes:
  - *The University Filing System*, a manual created and made available by the University Archives
  - The Records Retention Schedule, elaborated by the University Archives in collaboration with appropriate units, and in consultation with the University General Counsel or his/her appointee, is approved by the Secretary-General, and, in compliance with [The Archives Act](#), is submitted to Bibliothèque et Archives nationales du Québec for final approval
  - Destruction of Records in accordance with the Records Retention Schedule. The written approvals of the Director of Records Management and University Archives and the head of the academic or administrative unit responsible for the creation and/or accumulation of such Records are required for such destruction
  - The University Archives strives to create retention rules to cover all Records but in the absence of an appropriate retention rule, Records should not be removed or

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- destroyed without the joint approval of the Director of Archives and the head of the unit responsible for the creation and/or accumulation of such Records
- The Semi-active Records program that provides secure, efficient and confidential storage and retrieval for Records. All access to storage spaces is restricted to the staff of University Archives
  - An employee training program in which training sessions are regularly provided by the University Archives to the University community on the *University Filing System*, the Records Retention Schedule and sound Records management practice
  - Shredding of confidential Records: the University Archives ensures this service is available to all units in a secure, appropriate and cost-effective manner.

### Historical Archives Program

10. The University Archives is the sole department that collects, organizes, processes, preserves, and as appropriate, provides access to the Historical Archives and artifacts of the University and its two founding institutions, as well as private Archives of individuals or institutions acquired because of their connection with the University.
11. The University Archives also collects, organizes, processes, preserves, and provides access to non-University archival materials relating to the Montreal community or that support the academic program(s) of the University, within limited areas of specialization and in cooperation with other archival institutions.
12. The University Archives and the University Libraries are the sole departments authorized to collect, process, preserve and provide access to non-University archival materials. Any such non-University archival materials acquired prior to the effective date of this Policy may remain under the responsibility of the University unit(s) that acquired them.
13. The Historical Archives Program of the University includes:

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- Assistance with information and research requests from members of the University and the external community, in person and by e-mail, telephone, regular post and other communication means
- The processing of archival Records in compliance with accepted archival best practices in order to ensure preservation and access to the Records
- Orientation sessions and classes for faculty researchers and graduate students on using Archives
- Creation of access tools and finding aids to provide appropriate access to archival holdings
- Dissemination of historical information about the University, its history and traditions
- Joint research projects with faculty, including the development of research tools for primary materials
- Providing resource services to the University Community on matters related to Archives and historical Records.