

Policy Name:	Corporate Records and Archives Policy
Originating/Responsible Department:	University Secretariat
Approval Authority:	Senior Management Committee
Last Updated:	May 2024
Mandatory Revision Date:	May 2029
Contact:	Manager, Records Management & Corporate Archives

Policy Statement:

All University units are responsible for the management of university records through their entire lifecycle, thus supporting proper use of information for legal and financial requirements, fulfilling administrative and operational needs, and permanently preserving those records with enduring historical value. The intent of this Policy is to support the efficient and effective management of Carleton University's records and information assets.

Purpose:

The aims of this policy are:

1. to protect the authenticity, reliability and integrity of university records during creation and use;
2. to ensure records can be located and are accessible when required for use;
3. to protect records from unauthorized loss and/or release and dispose of records only when all of the University's legal, financial and operational obligations have been satisfied;
4. to promote efficiency and economy in the creation, maintenance, storage, retrieval, and disposal of university records;
5. to ensure the identification and preservation of those university records that have permanent value so that they continue to be accessible and trusted despite changes of format or access applications;
6. to preserve, share, and promote the history of Carleton University as an important Canadian educational institution, and;
7. to support the application of both access to information and protection of privacy legislation throughout Carleton University by ensuring personal information in university records is created, used, maintained, and disposed of in the appropriate manner.

Scope:

- I. This Policy applies to all University personnel, including faculty, staff, governors, and students employed by the University and applies to all records they create, collect, use, manage, retain, and dispose of through their course of work.
- II. Ultimate responsibility for the retention and disposition of university records rests with the University Secretariat. University records must be disposed of following the procedures and retention and disposition scheduling established by Corporate Records and Archives (CU-CRA) and/or by the direction provided by the Manager, Records Management and Corporate Archives or the University Secretary (or designate).
- III. This Policy applies to all University records in all media and formats, created or received in the course of carrying out administration and operations of Carleton University and in the course of all business activities and transactions.
- IV. The provisions of this Policy do not apply to records not owned by the University, such as records that are created or acquired by faculty members pursuant to their research.

Definitions:

Archive: i) Materials classified as having permanent historical value to the university, ii) the repository in which archival materials are preserved for permanent housing, and iii) a set of functions and procedures established to preserve archival materials for long term care and access.

Disposition: Stage of final action taken on a University record after it has completed its retention period. Disposition includes secure destruction, transfer to CU-CRA, or additional appraisal.

Fonds: A collection of records and materials that originate from the same university department as part of their mandate and activities.

Office of Primary Responsibility: University unit responsible for maintaining the integrity, retention, and disposition of a record or group of records.

Record Life Cycle: Stages of a record from creation to final disposition: creation, use, maintenance, access, final disposition (destruction or transfer to archives).

Records: Recorded information in any form and in all media and formats, including digital.

Retention: Period of time for which a university record must be maintained and managed by the office of primary responsibility.

University records: Official records that provide evidence of administrative, financial, and operational decisions and transactions as well as supporting the functions of university departments and units.

Procedure:**I. Basic Principles**

- a. Information is a corporate asset. The University's records are an important source of administrative, evidentiary, and historical information. They are vital to ongoing operations, for insuring accountability, for an understanding of procedures, compliance with legal requirements and for an awareness of history. They are essential to the preservation of the corporate memory of Carleton University.
- b. Records of the University are created or received by Carleton University, its faculty, administrators and employees in pursuance of and in connection with their functions at the university and contain information about the organization, transactions, procedures, policies, and activities of the University or other information of past, present, or future value to the University.
- c. All records created or received by Carleton University governors or employees in the course of their duties on behalf of Carleton are considered official university records. As such, they are the property of the University and subject to its overall control.

II. Records Management, Retention and Disposition

- a. Active records are the responsibility of the Office of Primary Responsibility. Management, storage, security, and access of these records are the responsibility of that office.
- b. Records retention and disposition scheduling is prepared by CU-CRA in collaboration with the offices of primary responsibility, key stakeholders, and approved by the University Secretary following review procedures established by the Advisory Committee on University Records (see Schedule A).
- c. The *Carleton University Retention Schedule* establishes retention periods and final disposition instructions for common university records as well as additional instructions related

to managing the record life cycle.

- d. When University records are not covered in the *Carleton University Retention Schedule*, CU-CRA will advise on appropriate retention and disposition scheduling on-demand and in collaboration with the offices of primary responsibility and other key stakeholders such as the General Counsel, the Access to Information and Privacy Manager, and the University Secretary.
- e. In compliance with *Freedom of Information and Protection of Privacy Act* and in consultation with the university's Privacy Office, units will protect records from inappropriate access, alteration, and usage.
- f. Notwithstanding the approved scheduled retention and disposition, university records required for a current or anticipated legal action or proceeding, FIPPA request, audit, or investigation may be retained as long as necessary.

III. Corporate Archives

- a. CU-CRA is the official depository of University records identified as archival.
- b. University records designated as archival shall be brought under intellectual control by CU-CRA but may, under appropriate conditions as agreed to by the head of the record-creating unit and the Manager, CU-CRA remain under the physical control of that unit.
- c. Records designated as archival will be accessioned into the permanent fonds of Corporate Records and Archives and be preserved and made accessible for the ongoing use of the university as well as appropriate research.
- d. Any required access restrictions placed on archival records held in CU-CRA are stated and managed by Corporate Records and Archives User Access Procedures (see Schedule B) and subject to change or exceptions as approved by the University Secretary.

Roles and Responsibilities:

I. Heads of Academic and Administrative Units:

- a. Have overall responsibility for the management of records generated by the activities of their unit and strive to ensure that the records controlled within their unit are managed consistent with Corporate Records and Archives Policy and the *Carleton University Retention Schedule*.
- b. Appoint appropriate staff to facilitate records management activities within the unit.
- c. Provide CU-CRA with reasonable access to and an opportunity to examine all current and non-current university records.
- d. Seek the advice of CU-CRA in the application of records retention schedules, in the identification of records no longer required for administrative purposes and/or of items that may be appropriate for archival acquisition and preservation.
- e. In the event that a unit is to be dissolved, contact CU-CRA in sufficient time to enable an adequate examination of the unit's records and for decisions on the orderly disposition of the records to be taken.

II. University Secretary

- a. Respecting the maintenance and preservation of records, the University Secretary is responsible for ensuring that the University fulfills its legal obligations as well as fulfilling internal and external

governance and accountability requirements.

- b. The University Secretary acts as Chair of the Advisory Committee on University Records, and takes advice from the committee regarding processes and procedures for the implementation of the Corporate Records and Archives Policy.

III. Manager, Corporate Records and Archives

The Manager, Records Management and Corporate Archives, reporting to the University Secretary, has day-to-day responsibility for the execution of the Corporate Records and Archives Policy and for operations of the CU-CRA department. These responsibilities cover:

- a. Development and implementation of procedures and regulations for the management of Corporate Records and Archives.
- b. Facilitation and coordination of Carleton's institutional records management programs, which include:
 - Reviewing and advising proposals for the destruction of university records;
 - Advising record-creating units in the classification and management of records and corporate data;
 - Providing records management training and tools for employees and university committees;
 - Guiding record creating units in identifying sensitive and/or critical records, and coordinating collaboration between units when these issues involve multiple departments.
- c. Management of corporate archives program, including: appraisal, arrangement and description, digitization, preservation management, donor relations, and access and reference.
- d. Reports annually to Senior Management Committee on the state of CU-CRA and the management university records.
- e. Advising on retention and disposition of data associated with records retention and disposition scheduling in the *Carleton University Retention Schedule*.
- f. Collaborating with stakeholders and custodians to update and document retention and disposition changes covered by the *Carleton University Retention Schedule*.
- g. Advising on the records management requirements of systems that create and manage university records and data.
- h. Managing external requests for the publication of archival materials for which Carleton is the owner and copyright holder.

IV. Access to Information and Privacy Manager

- a. Advising on issues of access and privacy as it relates to retention and disposition scheduling.

V. Information Technology Services

- a. Maintaining standards for the secure destruction of data and information in compliance with corporate records retention and disposition scheduling.

Contacts:

University Secretary
Manager, Records Management and Corporate Archives

Links to related Policies:

Acceptable Use of Information Technology and Email
Access to Information and Privacy Policy
Administrative Data Collection Access Usage Policy
IT Procurement Policy
Data Protection Risk Management Policy

Signing Authorities Policy
Personal Health Information Processing (PHIP)
University Information Technology Security Policy