

Policy Name:	Corporate Records and Archives Policy
Originating/Responsible Department:	University Secretariat
Approval Authority:	Senior Management Committee
Date of Original Policy:	June 1995
Last Updated:	May 2019
Mandatory Revision Date:	May 2024
Contact:	Corporate Archivist/University Secretary

GENERAL:

This policy makes evident the commitment on the part of Carleton University to the efficient and effective management of all its records throughout their entire lifecycle. This policy will support the creation and operation of an institutional information management plan incorporating comprehensive record disposition schedules thus insuring the preservation of information of enduring historical, legal, fiscal, administrative and evidentiary value. This policy supersedes the *Archives Policy* approved originally in June 1995 and most recently updated in Fall 1999.

Policy Statements:

- I. 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 and for an awareness of history. They are essential to the preservation of the corporate memory of Carleton University.
- II. Records are defined as recorded information in any form and in all media and formats, including electronic.
- III. 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, functions, procedures, policies, and activities of the University or other information of past, present, or future value to the University.
- IV. All records created or received by Carleton University officers or employees in the course of their duties on behalf of the University are considered "corporate" records. As such, they are the property of the University and subject to its overall control.
 1. Ultimate responsibility for their retention and disposition rests with the Secretariat.
 2. No corporate records or corporate information of the University may be destroyed or alienated from the control of the University without the written approval of the University's Corporate Archivist or the University Secretary.
- V. Carleton University's Corporate Archives will appraise, acquire, preserve, and make accessible those records identified as essential to documenting the history, organization, structure and functions of Carleton University.

1. The Corporate Archivist will advise units receiving or creating records on the organization and disposition of the corporate records of the University.
 2. Corporate records designated as archival shall be brought under intellectual control by the Corporate Archives but may, under appropriate conditions as agreed to by the head of the record-creating unit and the Corporate Archivist, remain under the physical control of that unit.
- VI. Records designated as archival will be appropriately housed and preserved according to the highest possible professional standards and practices.
- VII. In compliance with Freedom of Information and Protection of Privacy legislation and in consultation with the University's Privacy Office, units will protect records from inappropriate access, alteration and usage.
- VIII. No individual or organization may remove any record from the Corporate Archives without the approval of the Corporate Archivist.
- IX. Any restrictions placed on records held by the Corporate Archives will be applied in a uniform manner to all users.

PURPOSE:

The aims of this policy are:

1. to ensure the records required to reconstruct activities or transactions that have taken place are present;
2. to ensure records can be located and are accessible and available for decision-making;
3. to preserve context (who created the record, during what business process and how the record is related to other records);
4. to preserve reliability of the record in a manner through which its integrity and authenticity can be demonstrated;
5. to protect records from unauthorized loss and/or release and dispose of records only when all of the University's legal and operational obligations have been satisfied;
6. to promote efficiency and economy in the creation, maintenance, storage, retrieval, and disposal of University records;
7. to ensure the preservation of those records of the University that have permanent value so that they continue to be accessible and trusted despite changes of format or access applications;
8. to preserve and share the history of Carleton University as an important Canadian educational institution, and;
9. to support the application of both access to information and protection of privacy legislation throughout Carleton University by ensuring personal information is created, used, maintained and disposed of in an appropriate and legal matter.

SCOPE:

Implementation of this policy requires consistent application throughout the University by all University personnel, including faculty, officers and administrative staff. This policy applies to all records created or received in the course of carrying out the administrative work of Carleton University and in the course of all transactions and business activities. This policy does not apply to documents or data created or acquired by faculty members and other officers or employees in the course of teaching, research, or personal activities. For greater clarity, the provisions of this policy do not apply to those materials falling under the provisions of the Collective Agreement between the University and the Carleton University Academic Staff Association concerning the ownership of patents and copyright (article 14) or the records that are created or acquired by faculty members pursuant to their individual responsibilities for teaching or research.

PROCEDURES:**Roles and Responsibilities****I. Heads of Academic and Administrative Units.**

1. Heads of academic and administrative units 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 in a manner consistent with the Corporate Records and Archives Policy, taking such steps as may be necessary to preserve those records that document the unit's activities.
2. In compliance with the Corporate Records and Archives Policy, heads of units provide the Corporate Archivist with reasonable access to and an opportunity to examine all current and non-current corporate records.
3. Heads of units seek the advice of the Corporate Archivist 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. Taking into account the rapid pace of technological change and the vulnerability of digital information, the archival status of electronic materials should be designated as early as possible in the life cycle of the record. Heads of units will seek the advice of the Corporate Archivist before records are disposed of through destruction or before transfer to the Corporate Archives.
4. In the event that a unit is to be dissolved, heads of units contact the Corporate Archivist 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

1. Respecting the maintenance of records, the University Secretary has the particular responsibility of ensuring that the University fulfills its legal obligations as well as fulfilling internal and external governance and accountability requirements.
2. 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.

I. Corporate Archivist

1. Carleton University's Corporate Archivist, reporting to the University Secretary, has day-to-day responsibility for the execution of the Corporate Records and Archives Policy and for the operation of the Carleton University Corporate Archives. The Corporate Archivist develops and implements procedures and regulations for the management of the Corporate Archives.
2. The Corporate Archivist is responsible for facilitating the efficient management of Carleton University's corporate records by coordinating the institutional records management program. The Corporate Archivist advises and assists record-creating units in the classification and management of records, providing records management training and tools for staff 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.
3. The Corporate Archivist identifies all corporate records having archival value that are in the custody of record-creating units and arranges for their transfer to the custody of the Corporate Archives, or through agreement, for their being safeguarded in the unit. The Corporate Archivist preserves and administers these records deposited in the Corporate Archives and advises the university community on the preservation and control of records retained in other locations of the University.
4. The Corporate Archivist helps to disseminate the archival history, heritage, and contributions of Carleton University through a variety of means, including preparation of finding aids and online materials, presentations, coordinating access to those materials open to researchers in accordance with applicable legislation and archival regulations, and liaising with university departments using historical information and archival materials. Where administrative or academic units require access to their archival records, the Corporate Archivist facilitates that access.
5. The Corporate Archivist reviews and approves or rejects proposals for the destruction of corporate records.
6. The Corporate Archivist is responsible for promoting awareness of Carleton's record-keeping obligations and of the Corporate Archives' role in the preservation of Carleton's corporate memory.
7. Through the University Secretary, the Corporate Archivist reports annually to Senior Management Committee on the state of the Corporate Archives and the management of the university's records.

Contacts:

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Links to related Carleton University Policies:

Email Use Policy

Carleton University's Privacy Policies

Information Security Policy

**Policy on the Personal Information Protection and Electronic Documents Act, Canada
("PIPEDA")**

Signing Authorities Policy

Student and Applicant Record Policy