

# VICTORIA UNIVERSITY RECORDS AND ARCHIVES POLICY

## 1. SCOPE

1.1 This policy applies to all records, regardless of format, that are created, received, used and accumulated by the University's academic and administrative offices and officers and by the various governing bodies of the University.

1.2 This policy applies to all those archival records, created or acquired by the University that document the University's history, organization, structure, programs and functions.

1.3 The policy does not apply to those records created by professors or researchers, or those records acquired for research purposes.

## 2. PURPOSE

The purpose of this policy is to:

- 2.1 ensure the effective maintenance, retention and disposal of University records;
- 2.2 support the effective management of information and facilitate efficient operations;
- 2.3 assist with accountability and compliance with all applicable legal and regulatory standards; and
- 2.4 preserve evidence of the University's history and activities.

## 3. AUTHORITY

3.1 The University will establish a President's Advisory Committee on University Records and Archives.

3.2 Membership of the Committee will include, but not be limited to:

- President
- University Librarian
- Archivist
- Principals of Victoria and Emmanuel or their designates
- Bursar
- Registrar

- 3.3 The Chair will be appointed by the President from Committee membership.
- 3.4 The Committee will meet at least annually.
- 3.5 The Committee shall:
- a. Advise the President on the policies and procedures governing the creation, use, storage, archival preservation and disposition of the University's records and archives;
  - b. Review and approve records management and archives operating policies;
  - c. Review and approve the development, implementation and maintenance of the University's records management program;
  - d. Approve records retention and disposition schedules authorizing either the destruction of corporate records having no archival value or the permanent retention of corporate records appraised by the University archivist to have permanent value; and
  - e. Submit an annual report to the President delineating the activities of the archives and records management programs over the past year.
- 3.6 The Committee is not responsible for the day-to-day activities of the University's records management and archives programs.
- 3.7 The Committee will assign responsibility for compliance with archives and records management policy and procedures to department heads.

#### **4. POLICY**

##### **4.1 Records management program**

The University records management program will:

- a. Develop and maintain records management policies, procedures and practices that ensure the creation, maintenance, retention and disposition of University records.
- b. Ensure that all administrative units of the University comply with University records management policies, procedures and practices.
- c. Assist, along with the University of Toronto Archives and Records Management Services, officers and employees in managing their records efficiently and effectively by providing comprehensive advisory and training service.

## 4.2 Archives program

### *Acquisition*

The University archives program is limited to acquiring materials of the following types:

- a. Records of the University: Records created, received, used and accumulated by administrative units of the University that have enduring archival value.
- b. Records of Campus Organizations: Records of faculty, students or alumni associations, groups, societies and other associations that document the life of the University and its community.
- c. Papers of Individuals: Papers of faculty, staff or other individuals associated with the University that document the life of the University and its community.
- d. Collections: Archival records collected by organizations or individuals that document the history of the University or its community.

4.3 The University archives program will acquire University records which document the University's history, organization, structure, programs and functions.

4.4 To augment the information in these records, the archives may also acquire the records of affiliated institutions and campus organizations, the personal papers of individuals and collections of materials from other sources that document the life of the University community.

4.5 The archives will acquire records in all media formats, regardless of physical form or characteristics. This does not include artefacts or similar museum materials; these will only be acquired selectively if they relate directly to, and support the understanding, use and/or display of, a specific archival document.

4.6 With the exception of University records, which are the sole purview of the University archives, the acquisition of other archival materials will be carried out in cooperation with, and in consideration of the mandates of, other formally constituted archives. Items offered to the University archives that appear to be more appropriately acquired by other archives will be referred to that institution for review.

4.7 The University archives will acquire records by the following means:

- a. Internal transfer: Transfer of University records will occur according to approved records retention and disposal schedules.
- b. Donation: Donations from campus organizations, personal papers or collections will be accepted in accordance with the terms negotiated by the owner of the records and the University and documented in a formal donation agreement. All materials donated to the University archives will be the property of the University.

c. Loan: Short-term loans of archival records will occur as necessary and do not require a formal donation agreement. Original material that has been loaned to the University archives cannot be loaned to a third party without the permission of the owner.

d. Purchase: The University archives may purchase University records that have become alienated from the institution, as well as those records of campus organizations, affiliated institutions and individuals that possess enduring archival value related to the history of the University.

4.8 If requested by a donor, an appraisal of the fair market value of the donated material may be determined. The appraisal will only occur after the material has been formally acquired by the University. This process will be conducted in accordance with the regulations of the Canada Revenue Agency, Canadian Cultural Property Export Review Board, National Archival Appraisal Board and established University practices.

4.9 At the discretion of the archivist, acquisition of materials other than University records may be carried out actively (identifying potential sources and soliciting donations) or passively (responding only to offers to donate). If a potential acquisition involves material of significant extent or value, details of the proposal and its implications will be submitted to the President's Advisory Committee on University Records and Archives for review and direction.

#### *Preservation*

4.10 The University archives is responsible for the long-term preservation of all the archival materials it acquires. Preservation will be achieved through an appropriate combination of environmental controls, materials and handling techniques and conservation treatments.

#### *Deaccessioning*

4.11 Archival material in the possession of the University archives may be permanently removed from its holdings through the process of deaccessioning if it is determined that it is no longer appropriate for the material to be retained.

4.12 All proposals to deaccession archival materials must be submitted to the President's Advisory Committee on University Records and Archives for approval or referral, as appropriate.

4.13 Information about deaccessioning material will be kept by the University archives and made available upon request.

#### *Access*

4.14 The materials held by the University archives will be made available for reference and research unless otherwise specified.

4.15 Semi-active records held by the archives remain the property of their originating office. Access to these records is the decision of the head of the originating office.

4.16 Access to University records containing personal information will be determined consistent with the University's policy on access to information and protection of privacy, any applicable provincial and federal legislation and any other relevant agreements and documents.

4.17 Access to records of other organizations and individuals, and to collections, are subject to the restrictions agreed to by the University during negotiations with the creator and/or donor of the records.

4.18 Unprocessed material: Should none of the above restrictions apply, access to any unprocessed materials may be restricted at the discretion of the University archivist, pending a review to ensure that no personal or confidential information is contained in the documents.

4.19 Fragile, valuable or rare material: Access to original materials may be restricted at the discretion of the University archivist to protect them from damage or loss. In such cases, copies will be substituted for reference purposes.

#### *Loans and Returns of University archives material*

4.20 Original materials in the University archives do not circulate. If the temporary loan or return of material is requested, copies will normally be substituted for the originals.

4.21 At the discretion of the University archivist, original materials may be loaned or returned to the originating office or donor for a specific period of time. Permanent loans or open-ended returns are not permitted.

## **5. REVIEW PROCESS**

5.1 This policy will be reviewed every five years.

## **6. DEFINITIONS**

6.1 University records: non-published information, regardless of media format, that has been created, received, and accumulated by the University academic and administrative offices and officers and by various governing bodies of the University

6.2 Active records: those records that are in frequent use by the administrative unit in which they were created, received and accumulated

6.3 Semi-active records: those records that are infrequently used but that are still required by the University to fulfill its legal or regulatory responsibilities

6.4 Inactive records: those records that are no longer required by the University to fulfill its legal or regulatory responsibilities

6.5 Archival records: those inactive records that are of permanent or enduring value to the University

6.6 Archival value: consistent with the definition in the University of Toronto's Presidential Advisory Committee on Archives and Records Management Terms of Reference, archival value is legal/individual rights value (value that protects the rights of the University and of individuals associated with the University), evidential value (value in documenting activities of the University), or informational value (value that contributes to research).

Robert C. Brandeis

Chief Librarian

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