



**CÉGEP HERITAGE COLLEGE  
POLICY #22**

**CONCERNING RECORDS AND  
ARCHIVES MANAGEMENT**

**COMING INTO FORCE:** April 27, 1999  
**REVISED:** April 9, 2015  
**ADMINISTRATOR:** Director General

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# CÉGEP HERITAGE COLLEGE POLICY #22 CONCERNING RECORDS AND ARCHIVES MANAGEMENT

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## Preamble<sup>1</sup>

The Cégep Heritage College archives are established, as required by the *Quebec Archives Act, R.S.Q. Chapter A-21.1*, to maintain relevant information for legal, administrative and fiscal purposes and to preserve the College history for posterity.

## ARTICLE 1 Purpose

The purpose of the present policy is to establish the governing principles of records and archives management at Cégep Heritage College and to identify the general areas of responsibility pertaining thereto.

This policy will:

- Ensure the College meets its legal obligations pertaining to records and archives management;
- Support the development of a records management culture with College personnel in order to integrate records management activities into the daily tasks of those who produce, use and maintain College records;
- Control the volume of records and archives by identifying who must retain the principal records;
- Preserve essential documents by putting in place the necessary mechanisms to ensure the security of information assets;
- Protect all records and archives collected and stored.

## ARTICLE 2 Application

The present policy applies to all services responsible for the administration and/or day-to-day management of the administrative and historical records of Cégep Heritage College.

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<sup>1</sup> See the Glossary for explanations of frequently-used terms.

## ARTICLE 3 Provisions

### 3.1 Records and Archives Management

The management of records and archives encompasses all aspects of their systematic control and includes, but is not limited to creation, identification, classification, distribution, retrieval, storage, security, preservation or disposal.

Records are classified according to the College's Classification Plan and are decommissioned according to the retention schedules identified in the Conservation Calendar originally approved by *Bibliothèque et Archives Nationales du Québec (BANQ)* on July 29, 2014.

### 3.2 Records and Dossiers

#### 3.2.1 Confidential Records

Confidential records contain information to which the right of access is either restricted or prohibited under the provisions of the Law. Such records are to be designated as such by the administrator responsible for the originating service and are identified as such in the retention rules of the Conservation Calendar.

Confidential records are housed in the same secure area as public records. Access to the secure area is restricted to employees who have signed a Pledge of Discretion form.

#### 3.2.2 Public Records

Public records contain information deemed accessible under the provisions of the Law.

#### 3.2.3 Principal Dossier

The principal dossier on a particular subject is compiled and maintained by the originating service, in accordance with the Cégep Heritage College

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Conservation Calendar, and contains the most complete, original material relating to that subject.

### 3.2.4 Secondary Dossiers

Secondary dossiers are compiled and maintained by non-originating services for easy reference purposes and may contain a copy of all, or any part of, the material contained in the corresponding principal dossier. Generally, secondary dossiers are not to be retained beyond the “active” retention period.

### 3.2.5 Dossier Status

Dossier status is indicated through the use of the following terms:

- **Active** dossiers are in current use and require easy access on a regular basis. Consequently, they are housed in the originating service.
- **Semi-active** dossiers are no longer in current use but require access on a frequent basis. Consequently, they often are retained in the originating service, but can also be preserved in the archives storage area should office space be limited.
- **Inactive** dossiers have been retained for the full duration of the active and semi-active retention periods, as stipulated in the Cégep Heritage College Conservation Calendar. Such dossiers are either destroyed or preserved (in whole or in part) in the appropriate archives storage area, in accordance with the provisions of the Cégep Heritage College Conservation Calendar retention schedules.

### 3.3 Classification Plan

The Cégep Heritage College Classification Plan organizes all administrative documents produced or received by the College according to the activities that generate them. It applies to any administrative or teaching-related record, irrespective of medium (textual, digital,

audiovisual or other records), regardless of its status (active, semi-active or inactive). It reflects the College’s management and functional activities. All services responsible for the administration and/or day-to-day management of College activities are to organize their records according to the Classification Plan.

Revisions to the Classification Plan must be approved by the originating service directors.

### 3.4 Conservation Calendar

The Cégep Heritage College Conservation Calendar contains a sequential listing of all categories, or groups of related records, that are applicable to the various College administrative services as per the Classification Plan. The Calendar indicates the retention schedules, including any special instructions pertaining to storage, preservation or destruction, as per the Regulations.

Revisions to the Conservation Calendar must be approved by the Director General. Should changes impact retention schedules, or should a new rule be required, approval of the amendments is required from *Bibliothèque et archives nationales du Québec* (BAnQ) after the changes have been approved by the Board of Governors.

### 3.5 Retention Schedules

A Retention Schedule is assigned to each category of records as per the Cégep Heritage College Conservation Calendar. These retention schedules indicate the duration of the “active” and “semi-active” retention periods, and whether or not a dossier is to be preserved (in whole or in part) when it becomes “inactive”. Each conservation rule applies to types of documents as classified in the Classification Plan, and indicates these documents’ classification codes.

### 3.6 Inventories

#### 3.6.1 Records Inventory

Each originating service shall classify its documents according to the

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College's Classification Plan, and maintain its own physical inventory of active and semi-active records.

### 3.6.2 Transfer of Records to the Archives Storage Area

When records become inactive and are designated for transfer to the archives storage area, the originating service shall compile a sequential list of the records being transferred listing the archives storage containers involved in said transfer and their respective contents.

These lists of records being transferred are used by the persons responsible for the day-to-day management of the Services' archives to update the Cégep Heritage College online Archives Inventory.

### 3.6.3 Cégep Heritage College Online Archives Inventory

The Cégep Heritage College online Archives Inventory contains a complete listing of all administrative and historical records which are, or have been, housed in the archives storage area, including any such records which have been destroyed in accordance with the Regulations.

This inventory is maintained by the persons responsible for the management of each service's archives inventory. The inventory is organized sequentially by service and container number, and includes a legend, clearly indicating the storage locations designated for each originating service. The inventory is updated by the person responsible for the archives inventory within each service as required based on the lists of records to be transferred to the archives storage area and on destruction notifications provided by the originating services.

### 3.7 Transfer and/or Destruction of Records

Records being transferred to, or housed in, the archive storage area, as well as those designated for destruction in accordance with the Cégep Heritage College Conservation Calendar, are to be managed in accordance with the College's Guidelines for Sending Documents to the Archives Storage Area and the Guidelines for Document Destruction.

Although transfers of material may occur at any time, services are encouraged to schedule large-volume transactions involving transfers and/or processing of records designated for destruction in accordance with the Cégep Heritage College Conservation Calendar at the end of either the calendar or fiscal year.

## ARTICLE 4 Roles and Responsibilities

### 4.1 Board of Governors

The Board of Governors is responsible for the approval of amendments to the Conservation Calendar that require *Bibliothèque et Archives Nationales du Québec's* approval (i.e. principally corrections to the retention schedules and the creation of new rules).

### 4.2 Director General

The Director General is responsible for the overall management of the College archives and for acting upon requests for access to public College documents made under the *Law on the Access to Documents held by Public Bodies and the Protection of Personal Information*.

The Director General and the Board of Governors approve revisions to the Cégep Heritage College Conservation Calendar that necessitate BANQ approval.

With respect to the overall management of the College archives, an employee designated by the Director General shall:

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- establish and maintain the Cégep Heritage College Conservation Calendar in accordance with the Regulations;
- establish and administer the Cégep Heritage College archives, in collaboration with originating services;
- establish the Cégep Heritage College Archives Inventory for centralized control and access purposes;
- develop and update, as required, procedures and guidelines relating to the College archives;
- provide originating services with updated copies of all pertinent documentation; and
- administer access to records housed in the archives storage area upon the instructions of the Director General and in accordance with the provisions of the applicable laws and College procedures.

### 4.3 Administrators

The administrator responsible for each originating service, or a delegate, is responsible for:

- identifying records to be designated as “confidential,” and directing the individuals responsible for the day-to-day management of said records; and
- ensuring that the service’s records are classified according to the College’s Classification Plan and managed according to the approved Conservation Calendar.

### 4.5 Originating Services

Each originating service is responsible for:

- classifying its records as per the approved Cégep Heritage College Classification Plan;
- the day-to-day management of its active and on-site semi-active records (i.e., those records housed within the originating service) in accordance with the provisions of the Cégep Heritage College Conservation Calendar;

- maintaining the service’s online archives inventory;
- identifying records for destruction or for transfer to the archives storage area as required by, and in accordance with, the provisions of the *Cégep Heritage College Conservation Calendar*, and ensuring that a list of records to be transferred is forwarded, prior to transfer, to the person responsible for maintaining the service’s Archives Inventory;
- organizing and packing records for transfer in archive storage containers prominently displaying the appropriate identification codes and an accurate list of their contents, in accordance with the College Guidelines; and
- destroying all records that have reached the end of their life cycle according to the Conservation Calendar Retention Rules, in accordance with College Guidelines.

## ARTICLE 5 Revision

The present policy will be reviewed at least every five (5) years and revised when deemed necessary.

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### GLOSSARY

- Act:** the *Act respecting Archives (R.S.Q., c. A-21.1)*.
- Archives:** records that have reached their semi-active or inactive stage and that have been transferred to the College's archives storage area.
- Decommissioning:** the process of transferring records to the College's archive storage area after records have reached their semi-active or inactive stage.
- Dossier:** a collection of information relating to a particular subject.
- Law:** the *Law respecting Access to Documents held by Public Bodies and the Protection of Personal Information (R.S.Q., c. A-2.1)*.
- Originating Service:** the administrative service in which a principal dossier is created, maintained, and housed during the "active" retention period, specified in the *Heritage College Conservation Calendar*.
- Confidential records:** confidential records are records that have restricted access.
- Records:** recorded information, regardless of the medium used, (i.e., paper, microfilm, tape, disk, etc.)
- Regulations:** the *Regulations respecting retention schedules, transfer, deposit and disposal of public archives. (Archives Act, R.S.Q., c. A-21.1, r.1)*.

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### Related Documents

This document is to be used in conjunction with:

- Cégep Heritage College Classification Plan<sup>4</sup>
- Cégep Heritage College Conservation Calendar<sup>2</sup>
- Cégep Heritage College Archives Online Inventory<sup>3</sup>
- Cégep Heritage College Guidelines for Updating the Classification Plan and the Conservation Calendar<sup>6</sup>
- Cégep Heritage College Guidelines for Sending Documents to the Archives Depot<sup>6</sup>
- Cégep Heritage College Guidelines for Locating and Retrieving Archived Documents<sup>6</sup>
- Cégep Heritage College Guidelines for Document Destruction<sup>6</sup>
- Cégep Heritage College Guidelines for Archives Inventory Management<sup>6</sup>
- Cégep Heritage College Guidelines for Implementation of the New Document Classification Plan Approved in July 2014<sup>6</sup>
- *The Act respecting Archives (R.S.Q. c. A-21.1)*<sup>6</sup>
- *The Law on Access to Documents held by Public Bodies and the Protection of Personal Information (R.S.Q. c. A-2.1)*<sup>6</sup>
- *The Regulations respecting retention schedules, transfer, deposit and disposal of public archives. (Archives Act, R.S.Q., c. A-21.1, r.1)*<sup>6</sup>

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<sup>2</sup> Copies of this document are available from the Director General's Office.

<sup>3</sup> This is an electronic document available on the College's shared drive. It is accessible exclusively by the person responsible for a service's archives management within each service and by the person responsible for the College's overall archives management process.