



**HERITAGE COLLEGE
POLICY #22**

**CONCERNING
ARCHIVES MANAGEMENT**

COMING INTO FORCE: April 27, 1999
REVISED: June 20, 2006
ADMINISTRATOR: Director General

HERITAGE COLLEGE POLICY #22

CONCERNING ARCHIVES MANAGEMENT

Preamble¹

The 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 archives management at Heritage College and to identify the general areas of responsibility pertaining thereto.

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 Heritage College.

ARTICLE 3

Provisions

3.1 Records Management

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

3.2 Records and Dossiers

3.2.1 Private Records

Private 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.

Private records are to be housed in secure areas, separate from public records, in containers clearly marked "private." Access to private records is to be limited to individuals so authorized in accordance with the terms of article 4.2.

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 *Heritage College 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.

¹ See the Glossary for explanations of frequently-used terms.

HERITAGE COLLEGE POLICY #22 CONCERNING ARCHIVES MANAGEMENT

- **Inactive** dossiers have been retained for the full duration of the active and semi-active retention periods, as stipulated in the *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 *Heritage College Conservation Calendar*.

3.3 *Heritage College Conservation Calendar*

The *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. This listing indicates their corresponding conservation codes, including any special instructions pertaining to retention, storage, preservation or destruction, as per the Regulations.

Revisions to this document must be made in accordance with the Regulations and are approved by the Director General.

3.4 **Conservation Codes**²

Conservation codes are assigned to each category of records by the originating service and as per the *Heritage College Conservation Calendar*. These codes 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.”

3.5 **Inventories**

3.5.1 **Records Inventory**

Each originating service shall compile and maintain a records inventory containing a sequential listing of all dossiers created and maintained by that service.

² For detailed explanations of these codes, see page 1 of the *Heritage College Conservation Calendar*.

The inventory of private records shall be separate from the inventory of public records.

Each records inventory shall include a sequential listing of all archives storage containers and their contents, which have originated from that service and are housed in the designated archives storage area. Said listing shall include any such records which, after being housed in the archives storage area, were destroyed in accordance with the Regulations.

3.5.2 **Records Transfer Inventory**

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

Records transfer inventories are used by the person responsible for the day-to-day management of the College archives to update the *Heritage College Archives Catalogue*.

3.5.3 *Heritage College Archives Catalogue*

The *Heritage College Archives Catalogue* 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 catalogue is administered by the person responsible for the day-to-day management of the College archives. It is organized sequentially by service and container number, and includes a legend, clearly indicating the storage locations designated for each originating service. The catalogue is compiled from records inventories, and is updated as required based on the

HERITAGE COLLEGE POLICY #22 CONCERNING ARCHIVES MANAGEMENT

records transfer inventories and destruction notifications provided by the originating services.

3.6 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 *Heritage College Conservation Calendar*, are to be managed in accordance with College Procedures #3 and #4.

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 *Heritage College Conservation Calendar* at the end of either the calendar or fiscal year.

ARTICLE 4 Roles and Responsibilities

4.1 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 approves revisions to the *Heritage College Conservation Calendar*.

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

- establish and maintain the *Heritage College Archives Conservation Calendar* in accordance with the Regulations;
- establish and administer the Heritage College archives, in collaboration with originating services;
- establish and maintain the *Heritage College Archives Catalogue* for centralized control and access purposes;

- develop and update, as required, procedures 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.

4.2 Administrators

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

- identifying records to be designated as “private,” and directing the individuals responsible for the day-to-day management of said records according to College Procedures #3 and #4; and
- establishing and updating, as required, an “Authorization List for Access to Private Records” pertaining to the service for which said administrator is responsible, and ensuring that a copy of said list is forwarded to the Director General and to the individual responsible for maintaining the *College Archives Catalogue*.

4.3 Originating Services

For the purposes of archives management, each originating service is identified by a two-letter, alphabetic identification code³, which is to be displayed prominently on each archives storage container belonging to that particular service.

Each originating service is responsible for:

- 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

³ A detailed list of codes appears on the cover of the *Heritage College Conservation Calendar*.

HERITAGE COLLEGE POLICY #22 CONCERNING ARCHIVES MANAGEMENT

of the *Heritage College Conservation Calendar*;

- establishing and maintaining a records inventory and ensuring that updated copies are forwarded to the person responsible for maintaining the *College Archives Catalogue*;
- identifying records for destruction or for transfer to the archives storage area as required by, and in accordance with, the provisions of the *Heritage College Conservation Calendar*, and ensuring that a records transfer inventory is forwarded, prior to transfer, to the person responsible for maintaining the *College Archives Catalogue*;
- 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 College Procedures #3 and #4; and
- destroying all records so designated by the originating service, in accordance with College Procedures #3 and #4.

ARTICLE 5 Revision

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

HERITAGE COLLEGE POLICY #22 CONCERNING ARCHIVES MANAGEMENT

GLOSSARY

- Act:** the *Act respecting Archives (R.S.Q., c. A-21.1)*.
- 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*.
- 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)*.

HERITAGE COLLEGE POLICY #22 CONCERNING ARCHIVES MANAGEMENT

Related Documents

This document is to be used in conjunction with:

- *Heritage College Conservation Calendar*⁴
- *Heritage College Archives Catalogue*⁵
- *Heritage College Procedure #3 concerning Private Records*⁶
- *Heritage College Procedure #4 concerning Public Records*⁷
- *The Act respecting Archives (R.S.Q. c. A-21.1)*⁸
- *The Law on Access to Documents held by Public Bodies and the Protection of Personal Information (R.S.Q. c. A-2.1.)*⁹
- *The Regulations respecting retention schedules, transfer, deposit and disposal of public archives. (Archives Act, R.S.Q., c. A-21.1, r.1)*¹⁰

⁴ Copies of this document are available from the Director General's Office.

⁵ This document is currently being revised.

⁶ Copies of this document are available from the Director General's Office.

⁷ Ibid.

⁸ Copies of this document are available, for reference purposes, in the Director General's office.

⁹ Ibid.

¹⁰ Ibid.