



UNIVERSITY OF ALBERTA LIBRARIES

UNIVERSITY OF ALBERTA ARCHIVES

ARCHIVES POLICY

OVERVIEW

In the 1960s and 1970s the University recognized the importance of preserving archival material for institutional accountability, research and teaching purposes. By establishing the position of University Archivist and establishing the University Archives the Board of Governors in 1967, 1969 and 1974 took steps to identify, acquire, preserve and make available:

- University recorded information of enduring archival value, which documents its corporate memory.
- Non-University recorded information of enduring archival value created or received by faculty, staff or organizations or institutions affiliated to the University which enhance the corporate memory
- Recorded information of enduring archival value created or received by individuals, organizations and institutions the acquisition of which would support of the academic mandate of the University.

In addition, the University recognized that, as part of its accountability to Albertans and its faculty, staff and students, it was responsible for the efficient and effective management of its recorded information resources in all mediums created or received by faculty or, staff in the course of the performance of their duties.

The University recognized its responsibility to protect personal information and provide appropriate access to non-personal information. In addition, the University recognizes the need to establish a formal process for the legal disposal of its information resources, regardless of its media.

The Board also recognized the relationship between the preservation of University recorded information of enduring archival value and an efficient and effective records management program, which identifies such recorded information and ensures its transfer to and, preservation by, the University Archives in appropriate environmental storage facilities.

To this end the University Archives, under the direction of the University Archivist, is charged with the management of the University's archival records.

PURPOSE

To provide a University-wide framework, within which, recorded information is managed effectively and efficiently and recorded information of enduring archival value is identified, acquired, arranged, described, preserved and made accessible using best professional practices. The policy is designed to ensure that:

- The recorded information resources of the University are managed effectively and efficiently.
- University recorded information of enduring archival value is preserved to ensure public accountability, information authenticity, continuity of decision-making and academic, administrative and legal research.

- Non-University recorded information needed for research and teaching at the University is acquired, preserved and made available.
- The use of recorded information of enduring archival value in research, teaching and the creation of new knowledge be encouraged and facilitated.
- Information and knowledge about the University and its academic and administrative mission is disseminated to the University community and the larger Alberta, Canadian and international communities.

POLICY – ARCHIVAL MATERIALS

It is the policy of the University of Alberta that:

1. There shall be a University Archives directed by the University Archivist
2. The University Archives shall be the official repository of recorded information of enduring archival value regardless of media:
 - Created or received by University faculty or staff in fulfillment of their duties and transferred to the Archives when no longer needed for day-to-day administration.
 - Acquired by the University Archives to support research and teaching.
 - Acquired by faculties, departments, units and offices to support research and teaching and transferred to the Archives for preservation.
3. Within the context of government access and privacy legislation and regulations, University policy, donor agreements and best professional and ethical practice the University Archives shall provide access to the archival materials in its custody and under its control.
4. Recorded University information of enduring archival value shall be transferred to the custody and control of the University Archives.
5. In order for Archives staff to determine the location and identity of records of enduring archival value, Archives staff shall have direct access to University faculty and staff and the recorded information of the University.
6. All donations of the physical property of the non-University archival material shall be unconditional.
7. The University will acquire donations of archival material in accordance with the laws and regulations governing the acquisition of archival cultural property and the framework of the Archives acquisition strategy. These include the laws, conventions and treaties of the provincial and federal governments of Canada and international agreements and treaties.
8. The University Archives shall comply with the conditions required by the Department of Canadian Heritage to maintain the University of Alberta Archives **Category “A”** accreditation for cultural archival property.
9. All applications for certification of archival cultural property must be submitted by the University Archives on behalf of the University of Alberta to the Cultural Property Review Board.
10. The University Archivist may remove and dispose of acquisitioned materials (de-accessioning) as appropriate.
11. From time to time the University Archivist will issue such policies, procedures, and tariffs as necessary for the effective and efficient operation of these programs

RECORDS MANAGEMENT

To promote the efficient and effective creation, receipt, organization, use and legal disposal of University recorded information, and provide legal access to such resources. The University of Alberta Archives will work with the University Records Office to facilitate a records management program to include:

- records retention schedules
 - records disposal authorities
 - records keeping systems
 - vital records protection
 - disaster preparedness
 - records security
 - preservation and access to recorded information of enduring value
1. The University shall develop University-wide records management policies, procedures, guidelines and standards.
 2. Within such University policies, procedures, guidelines and standards, faculties, departments, units and offices shall be responsible for the management of the recorded information created or received by their faculty and other staff members in the course of University business.
 3. All recorded information created or received by faculty and staff of the University, as a consequence of the performance of their duties, is the property of the University and subject to the policies of the University records management program.
 4. No recorded information of the University shall be destroyed without due process and only after the approval of the faculty, department, unit or office which created or received the record, the University Records Officer and the University Archivist.
 5. University faculties, departments, units and offices shall develop records retention schedules and disposal authority proposals for the legal disposal of records in their custody or, under their control.

POLICY – ADMINISTRATION

This policy will be reviewed on an annual basis.

DEFINITIONS

These term(s) and definition(s) apply to this policy with no implied or intended institution-wide use.

| Term | Definition |
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| Monetary Appraisal | An estimate of fair market monetary value of donation. An appraisal is generally prepared by a qualified appraiser(s) or, in some cases, by an expert knowledgeable about the particular object in question. |
| Donation | A voluntary transfer of archival property made with no direct expectation of goods or services in return. Donors will receive a receipt for income tax purposes for their donation. A donation must be offered by the donor, and approved by the University Archives on behalf of the University of Alberta. Ownership of the donated material must be irrevocably transferred to the University. |
| Fair Market Monetary Value | The price that archival materials would fetch in an open market between |

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| | <p>a willing buyer and a willing seller in an arms-length transaction, where each party has full knowledge of the facts. It is assumed that the buyer and seller are prudent, informed, and acting independently of each other. The University of Alberta, as the issuer of receipts for income tax purposes, is responsible for ensuring that the amounts shown are reasonable. The receipt must represent the fair market monetary value of the donation at the time when ownership is transferred to the University. Donors are encouraged to obtain independent legal or financial advice on fair market value.</p> |
| Archival Appraisal | <p>The process of determining the value and thus the disposition of records based upon their current administrative, legal, and fiscal use; their evidential and informational or research value; their arrangement; their medium and format; their condition; and their relationship to other records.</p> |
| Archival Value | <p>The value and characteristics found in recorded information making it worthy of indefinite or permanent preservation by the University Archives. These qualities include their administrative, fiscal, legal, evidential, and/or informational value.</p> |
| Archival Materials | <p>Archival materials are recorded information of enduring value regardless of physical format or medium, created, received or accumulated and used by individuals, families, or corporate bodies in the course of their activities or functions.</p> |
| Records Management | <p>Records management is the process by which the University systematically manages the recorded information resources used in its custody or under its control for the administration and operation of University activities and programs.</p> |
| Records Management Programs | <p>A records management program is a program, which includes records creation, receipt, access and use, records retention and disposal, archival records preservation, disaster protection, vital records preservation, forms and forms management.</p> |
| Records Disposal Authorities | <p>Records Disposal Authorities are legal authorities proposed by faculties, departments, units and offices and approved by the University Archivist for the disposal of University recorded information either by destruction or by transfer to University Archives records.</p> |
| Records Retention Schedules | <p>Records Retention Schedules are established timetables for retaining recorded information for a defined period of time in faculties, departments, units and offices.</p> |
| Recorded Information | <p>Recorded information is a record of information in any media or form including University publications, documents, maps, drawings, photographs, vouchers, letters, papers, electronic records and any other information that is written, photographed, digitized, recorded and stored in any manner but does not include library or museum material kept for research, teaching or reference purposes.</p> |

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| Records Retention Schedules | Records Retention Schedules are established timetables for retaining recorded information for a defined period of time in faculties, departments, units and offices. |
| Recorded Information of Enduring Archival Value | Recorded information which because of its administrative, financial, legal, academic, teaching, research, cultural, social, scientific or historical value warrant permanent preservation. |
| University Record | A University record means recorded information in any format within the custody or under the control of the University relating to the operation and administration of the University. |
| Certified Cultural Property | Archival materials determined, by the Canadian Cultural Property Export Review Board, to be of outstanding significance and national importance. |
| Canadian Cultural Property Export Review Board | An independent tribunal of the Department of Canadian Heritage, established by the Cultural Property Export and Import Act, to make determinations regarding the certification of cultural property and the fair market value, for income tax purposes, assigned to certified cultural property. |
| Category "A" Designation | Awarded by the Minister of Canadian Heritage, Category "A" designation permits the institution to apply to the Canadian Cultural Property Export Review Board to have an object certified as cultural property for its collection. |
| Deaccession | An object that has been permanently removed from the collection; or the process of formally removing an object from the permanent collection. The deaccessioning process involves two stages. The first stage, "deaccessioning," is the formal review and decision-making process that leads to the removal of objects from the collection, and the formal adjustment of registration records. The second stage, "disposition," is the actual discard or transfer of ownership and possession of deaccessioned objects. A deaccession may involve a single object or a collection or lot of objects. The entire process must be formally approved by the University |

of Alberta, and fully documented in the collection records.

**Non-University Recorded
Information**

Recorded information created or received by non-University individuals, organizations, and institutions in fulfillment of their responsibilities and to which University Archives and Records Management Policies and Procedures do not apply.

University Archives

The department of the University charged with the administration and operation of the University's Archives Policy and a storage facility(ies) under the control of the University Archives where archival materials are stored. Processed and made available for research.

APPROVED STATUTORY AUTHORITY

Post Secondary Learning Act, RSA

PREVIOUS AUTHORITIES:

Minutes – Board of Governors:

- July 28th, 1967 establishing the position of University Archivist

- October 3rd, 1969 establishing an Archives policy

- June 7th, 1974 establishing a policy on documents retention and disposal