POLICY 5.8 – Cardinal Carter Library Archival Policy

POLICY SECTION:	**Administrative Policies: Operations**
RELATED BOARD POLICY:	**Board Policy 1.4.6 Records Management**
OTHER RELATED POLICIES:	**Administrative Policies 3.3 Data Management Policy; 4.1 Student Records Information Privacy Policy; Records Retention and Disposition Policy 5.7**
RELEVANT LEGISLATION:	**Freedom of Information and Protection of Privacy Act (FIPPA), where applicable; Employment Standards Act, 2000; Canada Revenue Agency, where applicable; Ontario archival, corporate, contractual, and regulatory obligations, where applicable**
PRIMARY APPROVER:	**President**
SECONDARY APPROVER:	
RESPONSIBLE AUTHORITY:	**Cardinal Carter Library (Head Academic Librarian, Information Resources Assistant for Cataloguing, Archives, and Records Management); Privacy Officer; Institutional Planning & Analysis Committee**
DATE APPROVED:	November 6, 2026
DATE(S) REVIEWED / REVISED:	
POLICY REVIEW - FREQUENCY:	**To be reviewed every 3 years.**
APPROVER SIGNATURE(S):	

Distributed Responsibility: Cardinal Carter Library, Privacy Officer, Institutional Planning & Analysis Committee

Operational Support: Cardinal Carter Library Archives and Records Centre, Data Stewards, departmental Business Owners, Information Technology Services

1. Purpose

The purpose of this policy is to establish the necessary framework for effective archival control and preservation of institutional memory at King's University College. This policy ensures that College

records and related archival materials will be properly identified, acquired, arranged, described, and preserved to retain their enduring historical, legal, fiscal, and administrative value. This policy acts with the Records Retention and Disposition Policy by outlining proper action when an operational record becomes archival. Additionally, this policy supports responsible data management by ensuring that records, data, and other materials are retained in a legislatively compliant manner and with proper historic/archival standards of preservation.

2. Scope

This policy applies to the following:

- all operational records within the Records Management scope of the college that have been scheduled for archival preservation and storage as identified by the Records Retention and Disposition Policy and accompanying Records Retention Schedule;
- all operational records with the Records Management scope of the College that are identified as semi-active, which are stored on a temporary basis until the Records Retention Schedule triggers permanent archival storage or destruction;
- donations or acquisitions of personal papers or personal collections by former or current faculty or other significant community figures, groups, or associations;
- acquisitions or donations that document the life of the College community.

3. Policy Statement

King's University College Archives and Record Centre will acquire the operational records of the College that have been scheduled for archival retention. These records will be preserved in compliance with legal and regulatory obligations as well as contractual, privacy, and security requirements. Semi-active records, as identified within the Records Management Policy, will likewise be stored here. The Archives will also store other records and material identified as having historical value to the College and wider community, either through donation or acquisition.

Access to archival materials will be subject to approval by the Head Academic Librarian or the Information Resources Assistant for Cataloguing, Archives, and Records Management.

4. Guiding Principles

4.1 Privacy and Security Must Be Maintained

Records, data, and other materials shall be protected as per privacy regulations and policies.

4.2 Archival Integrity Must Be Preserved

Archival integrity shall be maintained through archival preservation standards, including low risk of water or fire damage, damp, mould, insects, and rodents. Storage areas are well ventilated and maintained at a stable temperature and humidity level. Materials are stored on raising shelving in labelled, chemically inert storage boxes away from light and heat sources.

4.3 Access Must Be Limited and Controlled

Access to archival materials is restricted. Approval may be granted on a case-by-case basis by the Head Academic Librarian or the Information Resources Assistant for Cataloguing, Archives, and Records Management. Additionally, an up-to-date list of authorized users designated by Data Owners will also have access to inactive or semi-active operational records as identified in the King's Retention Schedule.

5. Definitions

Archival Record: A record determined to have enduring historical, institutional, legal, cultural, evidentiary, or research value and selected for permanent preservation.

Archive: Records that are appraised to have historical or continuing value; the place where

historical records are stored; the program responsible for selecting, acquiring and preserving archives, making them available, and approving destruction of other records; a collection of historical records relating to a place, organization, or family.

Data Steward: An individual designated by a department, business unit, or Data Realm to be accountable for the quality, meaning, use, protection, and lifecycle management of data within that area.

Official Record: The authoritative version of a record that documents an institutional decision, transaction, obligation, activity, approval, communication, or event.

Record: Any information created, received, captured, maintained, or used by King's University College in the course of institutional activity, regardless of format or medium. Records are evidence of the operational functions of the College and must have integrity, be authentic, and reliable.

Retention Schedule: An approved institutional instrument that identifies categories of records or data, assigns retention periods, identifies responsible offices, and defines final disposition requirements.

6. Responsibilities

6.1 Institutional Accountability

King's University College retains ultimate institutional accountability for the proper retention, storage, and preservation of its archival material.

This accountability cannot be delegated away from the institution. However, responsibility for maintaining and monitoring the College's archival material falls to the Information Resources Assistant for Cataloguing, Archives, and Records Management.

6.2 President

The President is the primary approver of this policy and is responsible for ensuring that King's maintains its integrity in the maintenance of its archival material.

6.3 Institutional Planning & Analysis Committee

The Institutional Planning & Analysis Committee (IPAC) is responsible for providing institutional oversight of records retention (as identified in the Records Retention and Disposition Schedule), with a focus especially on digital records in this context, as part of King's broader data governance structure.

Within the context of the Archives, IPAC is responsible for:

- ensuring that archival retention is occurring according to the Records Retention and Disposition Schedule;
- coordinating the development and maintenance of retention and disposition standards, schedules, and related procedures;
- supporting consistent interpretation of institutional retention requirements;
- receiving reports or updates on implementation progress, risks, gaps, and compliance concerns;
- escalating unresolved institutional retention or disposition issues to senior leadership where required.

6.4 Privacy Officer

The Privacy Officer is responsible for advising on retention, access, correction, privacy, confidentiality, breach, legal hold, and disposition matters where records contain personal information or personal health information.

The Privacy Officer shall be consulted where records are subject to an active access to information request, privacy complaint, privacy investigation, breach review, or other privacy-related preservation requirements.

6.5 Data Stewards

Data Stewards are responsible for:

- supporting the classification of records according to the institutional retention schedule;
- ensuring that records are retained in accordance with approved schedules;
- identifying operational, legal, fiscal, administrative, and historical requirements that may affect retention;
- working with ITS, the Privacy Officer, Archives and Records Centre, and other offices to implement retention practices.

6.6 Department Heads and Business Owners

Budget Unit Heads and Data Owners are responsible for ensuring that staff follow approved retention requirements, and that official records are stored in approved institutional systems or repositories.

6.7 Information Technology Services

Information Technology Services is responsible for supporting the technical implementation of retention, digital access control, and system configuration processes within institutional systems under its control.

ITS is not the owner of departmental records solely because those records are stored in IT-supported systems. Business ownership remains with the appropriate department, Data Steward, or institutional authority.

6.8 Archives or Designated Archival Function

The Archives or designated archival function is responsible for advising records with enduring historical, institutional, cultural, legal, or evidentiary value.

Records identified for archival review shall not be destroyed until archival appraisal has been completed.

6.9 Employees, Faculty, Contractors, and Other Users

All individuals who create, receive, manage, use, store, transmit, or dispose of institutional records are responsible for:

- storing official records in approved systems or repositories;
- protecting records from unauthorized access, disclosure, alteration, loss, or destruction;
- complying with legal hold, preservation, and disposition instructions;
- avoiding unnecessary retention of duplicate, obsolete, or transitory records.

7. Archival Transfer

Records selected for archival preservation shall be transferred to Cardinal Carter Library in a manner that preserves authenticity, context, integrity, accessibility, and security. Responsibility for transfer rests with the department in which the records are created. Once the records are transferred and a chain of custody is developed, the Information Resources Assistant for Cataloguing, Archives, and Records Management becomes responsible for their custody and control. Records transferred to the Records Centre as semi-active remain the property of the transferring administrative unit, with the option to delegate authority to the Information Resources Assistant for Cataloguing, Archives, and Records Management. Inactive records as well as records transferred as archival material outside of the College's Records Management purview become the property of the College, with administrative responsibility

and stewardship falling to the Information Resources Assistant for Cataloguing, Archives, and Records Management.

Archival transfer does not remove privacy, confidentiality, access, or security obligations associated with the records.

8. Privacy, Security, and Confidentiality

Archival records and data must be protected according to their sensitivity, classification, and risk.

Personal information, personal health information, confidential institutional information, student records, employment records, financial records, legal records, donor records, and other sensitive records must be retained using safeguards appropriate to their sensitivity.

Retention beyond legitimate institutional need increases privacy, security, operational, and legal risk and should be avoided unless required by law, policy, contract, legal hold, or approved institutional purpose.

9. Related Policies, Standards, and Procedures

This policy should be read together with the following, where applicable:

- Board Policy 1.4.6 Records Management;
- Data Management Policy;
- Information Security Policy;
- Privacy Policy;
- Access to Information procedures;
- Acceptable Use Policy;
- Records Retention Schedule;
- Data Classification Standard;
- Legal Hold Procedure;
- Backup and Recovery Standard;
- Incident Response Plan;
- Contract Management procedures;
- Student Records Information Privacy Policy.