University of Toronto Archives
And Records Management Services

Stepping Up 2004-2010: Strategies for Information Management in the 21st Century

Submitted by Garron Wells, University Archivist
August, 2004

Table of Contents

Executive Summary

The University of Toronto Archives and Records Management Services (UTARMS) department is responsible for access to and preservation of the University's documentary heritage. As a department in the University of Toronto Library, UTARMS has many comparable and compatible goals in support of the academic mission of the University. This plan describes in detail these goals:

1. Outstanding collections –foundations of strength
2. Access to scholarly resources
3. Information literacy: helping the University community build skills to use information resources effectively.
4. University recorded information as an academic and administrative asset.
5. Archives space: a place for discovery, learning and education
6. Staff support and renewal

Unlike the Library, however the University Archives relies completely on the information management policies and practices of the University administration in order to meet these goals. To this end, UTARMS has, since 1990, been charged with developing and delivering services in support of best practices for record keeping in all formats and media. Technological challenges in the 21st century demand that the University's recorded information be managed as an essential asset, regardless of media or format. The establishment of a task force on information management to address these challenges is one of several recommendations to be considered. UTARMS will continue to deliver and expand its programme of training seminars and general awareness to ensure all faculty and staff are aware of best practices for information management.

While UTARMS continues to acquire records in all media and formats from both university and private sources, it must continue to devote resources to the time-consuming and labour intensive activities of arrangement and description in order to ensure access to its scholarly resources. To do so effectively will require additional funding for contract professional staff.

Space for the temporary storage of semi-active and inactive records and long term storage of permanent value university records is long overdue for Canada's largest university. The Robarts/Fisher Library storage complex has been exhausted since 1998. Additional on-site and University-owned off-site storage space on the Downsview campus is required by UTARMS and University administrative offices.

Information Landscape 2004

Introduction

In the Provost's planning document "Stepping Up" much discussion centres on the changing "intellectual landscape" affecting today's university. The term refers to the impact of technology and new discoveries in the sciences that affect our understanding of the world around us. A key component in this changing environment is rooted in changes to the *information* landscape. "Isn't information the business of the university as a whole?" asks Dean Cantwell Smith. Of course it is, and how well the University faculty and staff manage this essential asset will ultimately determine the level of success in meeting its goals over the next six years.

The following plan has been developed by the staff of University Archives (UTARMS) and reflects existing and new challenges relating to information management in the 21st century. While the goals identified in this plan are modeled on those submitted by the University of Toronto Library, there are several distinct differences.

What is information management?

This is a term that has evolved over the last twenty years. Originally this term focused on the management of computer generated data only. Today, it "combines a synthesis of several approaches that have been demonstrated to be useful in managing information. It combines general management (resource handling), computer systems management, library science and policy making and planning approaches." [1] Records management is a key component of a successful information management strategy since it is the systematic approach to the creation, use, storage, retrieval, disposal and archival preservation of an organization's records.

Why is information management important to the University of Toronto?

Information is a valuable corporate asset, as important to the long-term success of the university as its people, equipment, and buildings. Thus it should receive the same level of attention from senior management as all other resources. The University creates and collects information on a day to day basis from both external and internal sources and in many different formats and media – electronic, paper, visual, and audio. This recorded information, along with the skills and experience of staff, comprises the knowledge base essential to the operation of the University.

Public accountability

---

[1] *Encyclopedia of Library and Information Science*, Vol. 43, Supplement 8, p.107

Since the 1980's, the public sector has been increasingly called to 'account' to government in particular and society in general. The scope of accountability has expanded from strict financial reporting to a broader social responsibility encompassing the right to access information about the organization's activities, and the protection of individual privacy. The demand for accountability has escalated with the growth of the Internet and on-line information resources and commercial activity. US public universities are subject to the *Family Educational Rights and Privacy Act*, and in some states, like Michigan, are also subject to a separate Freedom of Information Act. In Canada, universities in every province except Ontario and Nova Scotia are now subject to some form of access to information and protection of privacy regime. In 1995, Ontario universities voluntarily agreed to comply with COU guidelines on access to information and protection of privacy. In 2002, the Ministry of Consumer and Business Affairs drafted *Privacy of Personal Information Act* which would bring the not-for-profit (including universities) and private sectors under legislation that would protect individuals from unauthorized collection, use and disclosure of private information. More recently, universities in Ontario have had to respond to the impact of federal legislation relating to privacy and electronic documents. *Personal Information Protection and Electronic Documents Act (PIPEDA)* passed in 2000 was extended to include all Ontario organizations in January 2004 since Ontario had not passed any 'substantially similar' legislation. In November 2004, Ontario universities will also be subject to the *Personal Health Information Protection Act (PHIPA)* which governs health related records. The implications for universities of these pieces of legislation is minimal but they should be seen as a measure of the increasing attention by government to extend privacy legislation to all organizations, private or public, educational or commercial, profit or not for profit. [2]

National and International Standards for Records and Information Management (RIM)

The development of RIM standards over the past 10 years can provide the University with a framework on which to build policies and practices that will ensure compliance with local, national and international laws and regulations.

Prior to 1990, ISO 9000 *Standards for Quality Records* was the only international standard for records management practices, but it was limited to 'quality' records maintained by organizations seeking certification. By 1996, the Australians had produced their AS 4390, the Australian National Standard for Records Management. That same year the UN Model Law on electronic commerce became the first global legislative model prescribing legal standards for record keeping in 'all digital' environments. This model law has had an impact world wide by forcing nations to pass compatible legislation to ensure ongoing international commercial activity. The US

---

[2] Ontario. Personal Health Information Protection Act 2004; Canada. *Personal information protection and electronic documents act (PIPEDA)*

government's Department of Defense issued its DoD standard for electronic records management applications in 1997. [3]

Other national and international bodies have done much to advance our knowledge of and need for world wide best practices. Document Lifecycle Management (DLM) Forum published in 1999 "Model Requirements for the management of electronic records" (MoReq). MoReq has now become a widely accepted standard among European Union members for the management of email. [4] On the home front, Canadian information professionals have been involved in such long term projects as InterPARES (International Research on Permanent Authentic Records in Electronic Systems) based at the University of British Columbia. InterPARES "aims at developing the theoretical and methodological knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form. This knowledge should provide the basis from which to formulate model policies, strategies and standards capable of ensuring the longevity of such material and the ability of its users to trust its authenticity".[5] More recently the information community has completed the drafting of a new Canadian General Standards Board standard on "Electronic records as documentary evidence" (CGSB 72-34) in 2003.

But perhaps the most significant development in the past decade has been the publication in 2001 of the ISO 15489 *Information and documentation – Records Management Part I and Part II Guidelines.* This is the first widely accepted international standard to reflect the multiplicity of approaches, methods and practices used in the global workplace that is equally applicable to both the private and public sector. [6]

The University of Toronto has voluntarily developed some policies relating to access to information and protection of privacy. Examples of these include the "Policy on Access to Student Academic Records" (1998) and the "University's Policy on Access to information and protection of privacy" (1995). For over ten years, the University Archives has been responsible for developing records management tools to assist university administrators in managing university records. The effectiveness of these records management initiatives has only limited effectiveness since there is no University-wide policy on information management which sets core standards for best practices across all three campuses.

The role of the University of Toronto Archives and Records Management Services

University of Toronto Archives and Records Management Services (UTARMS) is dedicated to acquiring, preserving and making available the documentary heritage of the University of Toronto as a permanent resource in support of operational, educational, and

---

[3] Stephens, *Information Management Journal*, July 2001, p. 69

[4] Martin Waldron, "Adopting electronic records management: European strategic initiatives". *The Information Management Journal*, July/August 2004, pp31-35.

[5] InterPARES 2 Project. www.interpares.org

[6] International Standards Organization. *ISO 15489-1 Information and documentation – Records Management Part I General; Part II Guidelines* 2001-09-15

research needs of the University community and the general public. This documentary heritage includes records in all formats and media of the University administration as well as the private papers of faculty, staff and students and organizations. While promoting the fullest access to information, the department is bound to protect the privacy of individuals, university offices and other related corporate bodies entrusting their records to its care and to maintain the highest possible standards of professionalism and archival practice.

As well as providing a research service, the department provides an administrative service through the development and implementation of the University's records management programme. This responsibility is authorized under *Presidential Regulations for the Management of Archives and Records* (1991) and operates under the Terms of Reference of the Presidential Advisory Committee on Archives and Records Management which states that "the University Archivist is responsible for the development, implementation and maintenance of a comprehensive records management programme."[7]

These two broad activities are intrinsically linked to and dependent on the support of University administrators at all levels. How well employees manage the records under their control will ultimately determine the quality and quantity of permanent value records in the University Archives.

---

[7] See Appendix 4 for copies of these documents

UTARMS in Review 1999-2004

In August 1999, the University Archivist presented the department's five year plan to the Presidential Advisory Committee on Archives and Records Management. This 28 page document described our objectives for the next five years:

Objectives to 2004

1 Identification and Acquisition
Goal: to continue to identify and acquire university records and private records, including electronic format, documenting the administrative, teaching, and research achievements of faculty, staff and students

2 Access to information
Goal: to enhance the level of intellectual and physical access to recorded information in all format and media held by university offices and the University Archives to meet the information needs of faculty, staff and students

3 Preservation of information
Goal: to ensure that faculty, staff and students continue to enjoy security and preservation of information documenting administrative, teaching and research contributions and activities and that these accomplishments continue to be accessible as a key element in the knowledge base of the University

4 Client services
Goal: to deliver services of the highest standard to faculty, staff and students, donors, researchers and the general public.

5 Information Systems
Goal: to develop a comprehensive and interactive information system to enhance the University's knowledge base.

6 Staff Renewal
Goal: to continue to foster staff renewal to encourage innovative and knowledgeable quality service in response to the changing administrative, teaching and research needs of the University

7 Client and Staff Space
Goal: to enhance existing space to meet the changing administrative, teaching and research needs of the University

8 External Partnerships
Goal: to establish partnerships external to the Library and the University to increase resources

UTARMS experienced varying degrees of success in achieving the goals outlined above. Our identification and acquisition of university and private records over this time period exceeded by 28% our volume target of 600 metres (2000 feet). This was accomplished in spite of little change in the University's administrative practices relating to record keeping. Unfortunately, however, virtually all of the records received comprised what might be considered traditional formats, with paper still predominating. No university office has inquired about or initiated any transfer of permanent value electronic records, even though some AMS databases hold data that is more than 20 years old. The dormancy of the Presidential Advisory Committee on Archives and Records Management since 2000 has in part contributed to this situation since the University Archivist has been without any senior management support through most of this planning period. The future of collection development of the University Archives rests on a university wide strategy to identify records of enduring value in **all media and formats**.

Some significant advances were made in the area of improving access to information. With the acquisition of improved database software and the able cooperation of the Library's ITS department, we were able to mount an on-line database in 2001 of over 2500 records describing our archival accessions. This was later followed by the development of an Image Bank through funding assistance from Office of University Development and Advancement in conjunction with University's 175th anniversary celebrations in spring of 2002. More recently, we have added over 2000 pages of finding aids describing in various levels of detail the contents of some 89 accessions in PDF and made them accessible via the on-line Accessions Database. Unfortunately, except for the Image Bank of nearly 1000 digitized photographs, we have been unable to mount any significant volume of content on the web. The digitization of archival records is an expensive and labour-intensive undertaking, involving the selection, scanning, cataloguing and indexing of individual items. While the Archives has qualified staff to identify material for digitization, it has no funds to pay for the digitization, cataloguing, storage and mounting of electronic images.

Over the past five years the University Archives has responded to approximately 12,500 inquiries for information by phone, mail (including email), and in person. The Reading Room which is open from 9am to 4:30 pm five days a week, welcomed 1,694 registered researchers who made nearly 4,000 visits. Staff assisted faculty, staff, students and the general public undertaking a wide variety of research projects including the production of Martin Friedland's *The University of Toronto. A history*, published in 2002.

Storage of our holdings continued to be a significant challenge during this period. Essentially our storage arrangements remained unchanged over the last five years – the Archives continues to store new acquisitions in off-site commercial storage. This volume has grown from 1,877 feet (563 metres) in 1999 to more than 4200 feet (1260 metres) in 2004. As in 1999, there is no net increase in our on-site storage in the Fisher/Robarts complex. Conditions in the B1 level of Robarts where 50% of the Archives holdings are stored have not been expanded. Indeed, in 2003 a recurring leak necessitated the quarantine of 476 feet (143 metres) of shelving, thereby further reducing usable on-site

shelving space. In contrast, the Fisher Rare Book Library increased its available on-site storage space in the B1 area with the installation of mobile compact shelving in 2003.

This department has been responsible for the development of best practices in record keeping since 1989. Since 1993, staffing for this function had been on a recurring contract basis, but in 2000 the University approved funding to restore the continuing appointment position for records management. As a result the department was able to offer a suite of seminars on records management fundamentals, electronic records management and file management on a regular basis,[8] to provide point of contact information, advice and support to administrators responsible for record keeping in academic and administrative units, and to develop records retention schedules on a request basis. However, since the suspension of operation of the PACARM, the further development of records management initiatives have been hampered because of a lack of senior management support.

Comparison With Other Institutions

As in our 1999 plan, we have taken the opportunity to compare some key elements of the activities of the UTARMS with our Canadian and US counterparts. The choice isn't entirely arbitrary. In most cases we have attempted to compare UTARMS with publicly funded universities with both undergraduate and graduate programmes. Student and employee populations have been used to establish a base of comparison between institutions. As the largest university in Canada, U of T has few peers—UBC is the closest in size of student and employee populations. In the United States, Wisconsin is the largest in this comparison. However as can be seen in the table below, size of university community does not always correlate to size of University Archives either in volume of holdings or staffing. Take for example, UC Berkeley University Archives, which has a student population comparable to McGill, but the University Archives has only one third the staff to service one seventh of the volume of holdings – a ratio of 1FTE : 532 metres for UC Berkeley as compared to 1 FTE: 1192 metres for McGill.

Factors affecting the volume of holdings and staffing of a University Archives are more related to the level of development of institutional best practices for record keeping. Again – let's look at UC Berkeley and McGill. McGill University in Montreal has had a university archives since 1962 and records management programme for almost as long. Quebec universities have been subject to access to information and protection of privacy legislation since 1982 and the *Archives Act* since 1983. The University of California has had policies relating to records management applicable to each of its campuses since 1963 and university archives in campus libraries since 1964. However, unlike McGill, the University of California's Campus University Archives are not responsible for records management which is under the supervision of the Office of the Chancellor. Moreover, University of California has only recently re-initiated its university-wide

---

[8] In 2003-2004 118 administrators attended this suite of records management seminars.

records management function with the imposition of new information legislation resulting from the terrorist attack of September 11, 2001. For the University of California

> *The [University Records Management] Program consists of procedures that promote sound, efficient, and economical records management in the following areas:*
>
> *• Creation, organization of, and access to records*
>
> *• Maintenance and retention of administrative records*
>
> *• Security and privacy of records*
>
> *• Protection of records vital to the university*
>
> *• Preservation of records of historical importance*
>
> *• Disposition of administrative records when they no longer serve their purpose*
>
> *• Other functions the university may deem necessary for good records management* [9]

Table 1 below lists some comparison figures relating to archives and records management programmes at various Canadian and US institutions. University of Toronto holds the largest volume of archival records (8,219 metres) but is tied with McGill University in 3rd place for staffing. McGill and Queen's which are each about half the size of U of T in number of students clearly devote proportionately more staff to archives and records management programmes than U of T.   Below the universities are listed in ascending order of staff to metres ratio:

UBC 1: 400 metres
UC Berkeley 1: 532 metres
Wisconsin (Madison) 1: 625 metres
Queen's 1 : 875 metres
McGill 1:1192 metres
U of T 1: 1370 metres

When taking into account the number of staff to volume of holdings, this comparison clearly puts U of T at the bottom of the list. The inference is clear; with fewer staff to manage more records, the level of service to our community at the U of T falls far behind other Canadian and US institutions.

---

[9] University of California. "Business and Finance Bulletin RMP-1 University Records Management Program. Office of the Associate Vice President –Information Resources and Communications. Revised August 2003, p. 5

Table 1

University	Archives staff (FTE)	Reports to Library	Extent (Metres)	Students	Employees	Rec. Mgt	Within Archives
McGill	6	No	7150	30,580	8281	Yes	Yes
Queen's	8.1	No	7000	15,717	3192	Yes	Yes
UBC	3	Yes	1200	42,763	6578	Yes	Yes
UC Berkeley	2	Yes	1064	33,076	13,823	Yes	No
U of T	6	Yes	8219	63,109	10,301	Yes	Yes
Wisconsin (Madison)	8	Yes	5000 *	41,588	15,770	Yes	Yes

Objective 1: Outstanding Collections – Foundations of Strength

1.1 We will maintain and improve collection strength.
This objective is dependent in large part on Objective 4. The University Archives currently consists of predominantly paper-based textual records along with significant holdings of special media including sound and moving images, photographic prints and negatives, architectural drawings, works of art. Published materials also form a small but significant collection documenting the University's function of disseminating information on its activities to both the internal and external communities. As of April 30, 2004, the University Archives held 8,319 metres, consisting of

* University records 4,991 metres

* Private records   3328 metres

* Other records (included in extent of University and Private records):

- Non –textual records [10] 222,253 items (approx).

- Printed/library materials 37,697 items (approx).

-

The UTA holds no archival records for the U of T at Mississauga and the U of T at Scarborough campuses. Moreover there is no evidence that either campus has established any programme to preserve in a consistent manner their records of permanent value and make them accessible to their communities. The University Archives authority to ensure preservation of records of historical value on these campuses is unclear in existing university policies and procedures. **We recommend the clarification and strengthening of the University Archives' mandate relating to university records preservation across all three campuses.**

1.2 We will emphasize digital collections by increasing their number and scope.
Digital content of archival holdings can be made available by two methods: the electronic copying or conversion of hard copy original records to electronic form, or the mounting of original electronic records generated in administrative databases or on the Web. The former method is labour intensive and expensive. Currently UTARMS has about 1000 photographs in digital form accessible through our on-line Image Bank. No textual records have been converted from hard copy to digital form. UTARMS requires additional funding for contract staff to select, catalogue and digitize archival paper-based records over the next planning period to increase the scope and content of on-line holdings.

---

[10] Non-textual records include 6,733 film and video, 2505 sound recordings, 174,609 photographs, 5,650 slides, 11001 architectural drawings, 972 works of art, 547 maps, 20,000 aperture cards, 86 artifacts, 150 broadsides

While the Archives consistently acquires approximately 152 metres (500 feet) per year of material from all sources both inside and outside the university, none have been original electronic records of permanent value. Until records retention schedules are produced for the University's databases and web based records, we do not expect any electronic records of permanent value to be made available for research use. Access to and preservation of electronic records is dependent on a university-wide strategy on information management.

1.3 We will preserve archival records in all formats (paper, graphic, electronic etc.) for the future.

The University Archives will work with the Library's proposed Preservation Task force to deal with issues relating to long term management of existing and new acquisitions as they relate to physical storage, and media transfer. However there is an **immediate need** for increased storage space for University Archives. Since 1995 the Archives has been regularly shipping university records acquisitions to off-site storage because on-site space is at capacity.[11] Currently the University Archives stores approximately 15.5% of its holdings in a commercial off-site facility at a cost of approximately $16,000 per annum. [12] This extent is expected to grow at a rate of 1.5% per year for the foreseeable future, resulting in a permanent and escalating cost to the Library and the University for not only storage but retrieval cost as well. While this arrangement has provided a temporary solution for paper records that fit a standard records storage container, it cannot accommodate the growing collection of non-textual materials that have been received or remain in university offices because there is no appropriate storage space in the Fisher Library/Robarts Library complex. For example, the Capital Projects office has over 250,000 architectural drawings dating from 1850 stored in poor conditions in the basement of 215 Huron. Included among these are some 5,000 architectural drawings of the firm Mathers & Haldenby donated to the University Archives in 1995 for which the donor received a tax receipt.

The provision of OTO funding for on-site mobile compact storage would ultimately pay for itself in 10 years.[13] **We recommend the purchase of compact storage system for the 3rd floor of the Fisher Library and for construction of space in a Records Centre/Archives facility at Downsview (see Objective 4).** [14]

1.4 We will enhance the awareness of the resources of the University Archives through a comprehensive marketing strategy.

Even though the University Archives has been established for nearly 40 years there are individuals and areas of university administration that are unaware of its existence and role in the long term management of our documentary heritage. This may be attributed in

---

[11] University of Toronto Archives, Annual Report, 1995-1996, p. 17

[12] Average cost per month during 2003-2004. Includes retrieval costs.

[13] Based this annual cost over 10 years: $166,080.

[14] Floor load capacity is currently 150 lbs per sq. ft. Engineering study needed.

part to the paucity of university policies and procedures referred to above, but also to the relatively low profile of this department within the University of Toronto Library. The University Archives intends to address this lack of awareness by expanding its web site presence, through broader communication via the internet, in university publications and through closer cooperation with university administrators through the proposed University Task Force on Information Management and the Library's Preservation Task force. Other initiatives resulting from a reactivated Presidential Advisory Committee on Archives and Records management (see Objective 4) will also assist in this area.

Objective 1: Outstanding Collections: Foundations of Strength

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
1.1 We will maintain and improve collection strength. .	o We will seek the clarification and strengthening of the University Archives mandate to preserve university records across all three campuses. o We will develop acquisition strategies for university and private records of permanent value o We will continue to foster relationships with private donors interested in improving access to and preservation of their personal records held in the Archives	o University policy on archives and records management is approved by Governing Council o identify and acquire an additional 760 metres (2,500 ft) of archival records from university and private sources	Senior management/ University Archivist o All archivists	
1.2 We will emphasize digital collections by increasing their number and scope.	o We will endeavour to identify central University of Toronto databases supporting administrative functions that have permanent value o We will identify and acquire selected electronic records with permanent value from University of Toronto web sites	o Retention schedules are developed and approved for all Uof T AMS databases. o Negotiations with selected academic and administrative offices are initiated to determine retention and disposition of web based records; permanent value web files are transferred to UTARMS server	o University Archivist & staff o Manager, AMS o Library IT o Director, Strategic Computing	o Server space

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
1.3 We will preserve archival records in all formats (paper, graphic, electronic etc.) for the future.	o We will develop preservation management strategy for all media in University Archives including the reformatting of hard copy records. o We will recommend the purchase of compact storage system for the 3rd Floor Fisher Library to store Archives acquisitions. o We will participate in the establishment of the Library's Preservation Task Force o We will work with the Library and University administrative offices to encourage and advise the larger University community in the adoption of the highest standards of preservation for archival records in all formats and media.	o Preparation of preservation report and implement practices o Additional storage space is acquired on site in Fisher Library and off site at Downsview. (See Objective 4) o Library's Preservation Task Force is appointed and delivers report. o Establish standards for preservation of electronic documents	o UTARMS / Library Preservation Task Force o PACARM/ Senior management	o OTO funding for reformatting o OTO funding for on-site compact shelving
1.4 We will enhance the awareness of the resources of the University Archives through a comprehensive marketing strategy.	o We will develop both short and long term strategies for enhancing our presence within the University community. o	o Plan is produced and implemented o Regular notices are mounted on the UTARMS Website, and in other departmental publications (alumni, in-house newsletters) etc.	o Archives assistant; all other staff;	

Objective 2: Access to Scholarly Resources

2.1 We will improve access to physical collections.

The main tool for improving access to our holdings is through an enhanced web site. The University Archives would like to make more of the content of its holdings available on-line and some work in this area has been accomplished with regard to photographic images. However, resources for such initiatives is extremely limited and there is no sustained funding provided by the Library or the University for such undertakings. Attempts to attract government grants have not been successfully in part because of competition from more broadly based archival repositories such as special collections in university libraries and provincial and municipal archival repositories. Fund raising is another option promoted by the University; however, the University Archives has no independent authority in this area and must work with (and at times compete with) other higher profile collections such as the Fisher Rare Book Library for the attention of advancement initiatives. We are currently undertaking the digitization of selected records of University Land records (A1968-0010) at a cost of $10,000. [15]

Other initiatives in this area include ensuring that our web site is linked to other portals of related media such as MIC (Moving Images Catalogue) being developed by the Association of Moving Image Archives and the United Nations.

There still is significant volume of archival holdings which remain inadequately described to the point that research use is impeded. In our Plan 2004 (1999) we identified a backlog of approximately 300 metres of university and private records acquisitions that required further arrangement and description[16]. This backlog still remains since OTO funding for a contract archivist for a period of approximately 5 years was not received in the last planning period.

2.2 We will continue to provide personal, customized service.

Researchers to the University Archives, and indeed most archival repositories, will receive one-on-one consultation with an archivist. This is and continues to be a necessary service since the very nature of archival material prevents detailed indexing. The University Archives continues to provide this service to all researchers who visit the Reading Room. However, we recognize that remote access to personalized service via email and the web is required in the 21st century. The Archives will thus continue to respond to phone and written inquiries from students, faculty, staff and the general public regarding unique research projects using the most up-to-date technology available. We will attempt to identify new needs by developing strategies and projects within an overall plan. This may include surveying our clientele.

---

[15] The funding for this project is the Archives Preservation Fund allocated in the University's Budget of 1998-99.

[16] The activities of archival arrangement and description are analogous to the library science term "cataloguing".

2.3 We will develop & publish research tools.

As mentioned, the University Archives has made considerable progress since the last planning period to publish more research tools in the form of finding aids on line through our web site. We currently have 2,640 pages of finding aids in PDF on line. With existing staffing resources we expect to add 5,000 pages in the next five years. The addition of fonds level descriptions in HTML on our web site is another initiative to be undertaken in this plan. This will highlight significant holdings of both university and private records when scholars undertake web searches on the U of T's www or beyond.

Objective 2: Access to scholarly resources

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
2.1 We will improve access to physical collections.	o We will develop and implement action plan for the reappraisal and processing of backlog accessions in **textual and SMI (sound and moving image) formats** o We will finalize descriptive standards for all levels and all media to ensure compliance with national archival standards and compatibility with electronic access o We will undertake to mount the contents of the Archives on the web by undertaking digital projects relating to photographic records and fragile textual records o We will continue to have our web site linked with portals of related media	o Funding for contract archivists is received o 100 metres of backlog are arranged, described and made available for research o 4,200 SMI records in A1996-0008 and A2003-0009 are described and made available for research o 2000 images are added to the Image Bank o AMIA's "MIC", United Nations Portal added to web site	o University archivist; PACARM o Special Media Archivist	o OTO funding for 2 Contract archivists for backlog processing of textual and SMI records
2.2 We will continue to provide personal, customized service.	o We will continue to provide one on one consultation in the Reading Room. o We will identify new services to meet the needs of faculty and students undertaking teaching and research, and university administrators supporting these activities	o Strategies and projects identified within an overall plan o Implementation of plan	o Archives staff; users	
2.3 We will develop & publish research tools.	o We will continue to publish more finding aids to university and private archival records on our web site	o An additional 500 pages of finding aids are mounted on the web in PDF per year	o Archivists o Contract archivist	

Objective 3: Information Literacy: Helping the University Community Build Skills to Use Information Resources Effectively

3.1 We will educate and train faculty in the management of their personal teaching and research records as a research and information asset

While this objective in the Provost's white paper is geared to helping students build skills to use information resources effectively, we feel that the management of information resources by all members of the university community needs to be highlighted. Faculty create, use, maintain, store and destroy information relating to their academic and administrative activities throughout their careers with the University. Retiring faculty should know that their teaching and research records have potential archival value and when donated to a recognized archival repository like the University Archives, have monetary value. Thus this recorded information in both paper and electronic form is an important research and administrative asset to the University. As far as we have been able to ascertain, neither the Provost's white paper, nor any other plans address the need to educate faculty about the management of their own recorded information. The University Archives proposes to address this issue by offering training sessions in the management of private records for faculty in conjunction with our other information management sessions produced regularly for administrative staff.

3.2 We will continue to educate and train university administrators in best practices for records and information management.
We will continue to offer our core courses in records and information management promoting best practices to administrative staff. Feedback from attendees at these sessions indicates that additional courses are also desired in such areas as access to information and protection of personal privacy, and email management. These and others will be developed to meet the changing needs of administrative staff As well, the mounting of 'how to' seminars on-line through our web site as a supplement to these courses will also be undertaken.

3.3 We will become an educational partner with others across the University.
3.4 We will teach students how to access, evaluate, manage, and use information effectively.
In addition to promoting the management of information among university employees, we will continue to promote the use of UTARMS as a laboratory for the practical education of students in the archives stream at the Faculty of Information Studies. This initiative could be greatly expanded as the Faculty develops its plans for a Centre for Documentary Practice and the Archives will monitor and respond to any initiatives in this area. In further support to the academic goals of the University we will collaborate with the Director of the Office of Information Literacy Services proposed by the Library and encourage the use of archival records through more aggressive communication via email and web site enhancement to faculty in the humanities and social sciences.

Objective 3: Information literacy: helping the University community build skills to use information resources effectively

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
3.1 We will educate and train faculty in the management of their personal teaching and research records as a research and information asset.	o We will develop and deliver training session(s) in personal information management	o Attendance at seminars; feedback.	o Selected Archivists	
3.2 We will continue to educate and train university administrators in best practices for records and information management.	o We will continue to offer a regular programme of seminars on records management, U of T. File plan, Electronic records o We will develop new seminars as needs of University administrators change o We will mount on-line 'how to' training seminars as supplement to presentations.	o Attendance continues at current rate or increases at seminars o New seminars are offered	o Records Archivist (records management) o PACARM	

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
3.3 We will become an educational partner with others across the University.	o We will continue to promote UTARMS as a laboratory for the practical education of students in the archives stream at the Faculty of Information Studies o We will promote the resources of the archives for academic assignments to students in the humanities and social sciences through improved communication with faculty.	o FIS students from courses in Arrangement and description, appraisal etc undertake projects o UTARMS makes regular submissions to faculty at FIS needing projects for practical training of students o Archivist present seminars on use of archival material o Archivists provide orientation for faculty and their students in resources of the University Archives to complete assignments.	University Archivist or designate University Archivist Archivists	
3.4 We will teach students how to access, evaluate, manage, and use information effectively.	o We will collaborate with the Director of the Office of Information Literacy Services proposed by the Library o We will promote the use of archival records in the University Archives in student essays and faculty seminars	o Develop and implement course in use of archival sources in collaboration with the Fisher Rare Book Library o Regular communication with faculty of targeted departments about sources in the University Archives	o UTARMS and RBD staff	

Objective 4: University Recorded Information as an Academic and Administrative Asset

4.1 We will encourage the development of a university-wide information management strategy

Just as importantly, the University of Toronto has no university-wide strategy on the long term management of electronic records of permanent value stored in data systems, on desktops and on its web sites. The management of the university's administrative records is a university-wide responsibility and demands a university-wide strategy encompassing all forms of recorded information. The Library has recognized one part of this strategy -- "to encourage and advise the larger University community in the adoption of the highest standards of preservation for its digital and print institutional records and potential archival documents".[17] In his report *Information Flowing Freely,* Marden Paul identifies the need for institutional standards and effective cooperation as key strategies for IT management at the University.[18]

The failure to address these issues in the short and long term means that the University will fall far behind its competitor institutions in Canada and the United States in preserving electronic records. The University Archives will participate actively with the Director, Strategic Computing and other key players in the development of university-wide strategies for the long term management of administrative records. **Further, it is recommended that the President establish a University Task force on information management to identify strategies for not only electronic records, but all recorded information regardless of format or medium across all three campuses.**

The work of such a Task force would directly impact the planned work of the Archives to identify and select information of permanent value in the central AMS databases, desktops and U of T Web sites as discussed in Objective 1.

4.2 We will request the re-establishment of the Presidential Advisory Committee on Archives and Records Management
(PACARM)

For nearly fourteen years, the University Archives has undertaken a unique role in promoting the development of best practices in the management of recorded information under the authority of the *Presidential Regulations for Archives and Records Management* (1990).

While the University Archives has been charged with this responsibility, it must be underlined that its success is dependent entirely on the support it receives from senior management. Unfortunately, for the past 5 years, this success has been severely

---

[17] Objective 1.3, Key strategy 1.3.6 in "Stepping Up University of Toronto Library Plan 2004-2010.

[18] Marden Paul, *Information Flowing Freely: An Overview of U of T IT* (June 29, 2004). See especially page 5 and 23.

hampered by the dormancy of the Presidential Advisory Committee on Archives and Records Management (PACARM). As a result, the University Archivist, who is accountable to this Committee for the fulfillment of this responsibility, has been without senior management advice in this area. **We are therefore recommending the immediate re-activation of the PACARM by the President.** If this body is not to be reconstituted, then we would ask the President to consult as appropriate to identify another appropriate office or individual.

4.3 We will continue to promote best practices for the creation, use, maintenance and storage of electronic and paper based records generated in support of teaching and research, development and administration faculty and students.

Preservation starts with the creation of the record – not when it is no longer required by the creator. **We therefore recommend the construction of a University Records Centre/Archives storage module at Downsview and the development of records retention schedules for all records stored in this facility**. The production of records retention schedules will ensure that the storage facility holds records only for a set period of time, with destruction taking place on a regular and pre-determined timetable. This University Records and Archives Centre would provide for the temporary storage of semi-active and inactive administrative records and archival storage for permanent value university records. In Canada, universities which have their own records storage facility include McGill University, and Simon Fraser University. Others like University of Western Ontario and Queen's University have identified the storage of semi-active and inactive university records as a responsibility of the Archives in their recently approved records management policies.[19] In the United States, University of Michigan Archives operates a university records centre, as does the University of Arizona, to name just a few. [20] Other universities such as U.C. Berkeley and Wisconsin (at Madison) allow offices to make arrangements with a commercial records storage vendor provided records management policies are complied with.

4.4 We will continue to expand and enhance training, consultation and on-site services for records and information management to University administrators and faculty.

Supporting the above initiatives are our existing core courses in records management that have been offered for the past 10 years. In addition to training administrative staff in

---

[19] See for example records management policies for Queens University at http://archives.queensu.ca/RMPOLICY.pdf and University of Western Ontario at http://www.uwo.ca/univsec/mapp/section1/mapp130.pdf, Simon Fraser University http://www.sfu.ca/archives/urc_intro.html ;

[20] University of Michigan see http://www.msu.edu/unit/msuarhc/frame_records.htm ; University of Arizona see http://info-center.ccit.arizona.edu/~records/

policies and procedures for the use of the University Records and Archives Centre, the University Archives will continue to promote best practices for on-site management of current university administrative records generated by staff and faculty.

Objective 4: University recorded information as an academic and administrative asset

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
4.1 We will encourage the development of a university-wide information management strategy.	o We recommend formation of University-wide Task Force on Information Management	o Long term strategies for preservation of administrative databases, email, and other electronic records are developed and implemented o University-wide information management policies are established	o University Archivist o PACARM o Director, Strategic computing and other senior managers	o OTO funding for construction of module; on going funding for operation of module
4.2 We will request the re-establishment of the Presidential Advisory Committee on Archives and Records Management (PACARM)	o We will follow up with the Secretary, Governing Council regarding the submission to the President for a decision on the status of the PACARM.	o PACARM is established by order of the President or an alternative approach is approved.	o University Archivist in consultation with the President, or Secretary, Governing Council	
4.3 We will continue to promote best practices for the creation, use and maintenance of electronic and paper records generated in support of teaching and research, development and administration of faculty and students.	o We will develop additional seminars on personal records management through U of T Staff Development office. o We will encourage the establishment of a University Records Centre/ Archives module at Downsview for the temporary storage of semi-active university records scheduled for destruction and the long term storage of permanent value university records (Archives).	o Faculty receive the information they need to manage their own personal teaching and research records as a personal asset o University semi-active and inactive records are stored in low cost off-site storage facility at Downsview	o Records Archivist in charge of records management; FIS	

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
4.4 We will continue to expand and enhance training, consultation and on-site services for records and information management to University administrators and faculty.	o We will promote and coordinate the use of Faculty of Information Studies students and graduates for records management projects in University offices either as employees or as practicum students for credit towards Masters' degree. o We will continue to offer suite of seminars on records management to administrative staff and develop new ones as need arises.	o University administrators requesting assistance for records management projects are matched with appropriate students or graduates seeking practical experience	o University Archivist in consultation with faculty at FIS o Staff archivists	

Objective 5: Archives Space: A Place for Discovery, Learning and Education

5.1 We will revitalize Archives space as a place for discovery, learning and education.

Since 1973, the University Archives has occupied the top two floors of the Fisher Rare Book Library Building located at 120 St. George St. The fourth floor is a mixed use area comprising office space, processing areas, public reading room, kitchen and storage for the Archives library materials (printed materials, theses) and architectural drawings.

The fourth floor needs to be reconfigured to accommodate a separate reference consultation and registration area. This model is based on that currently in place in the Rare Book Library. The separation of reference/registration area from study area is essential for researchers. The noise of telephone and in person consultations by reference archivists is disturbing to researchers and is a source of frequent complaints. Other changes for the 4th floor include a holding space for materials shipped from off-site storage, processing space for acquisitions and office space for Archives Assistant (moved from what would become reference/registration area). This would necessitate the moving of all collections currently on the 4th floor to compact shelving on the 3rd floor or to B1 level of Robarts. The latter alternative would necessitate the shipping of appropriate amount of records to off-site storage (either Downsview or commercial records centre).

A summary of the renovations required is as follows:
4th floor [21]
   ♦ Separation of reading room from reference consultation area (similar model to Fisher Rare Book Library)
   ♦ Office space for UTARMS Archives Assistant with adjacent administrative files
   ♦ Redesigned office space for two UTARMS staff archivists and casual staff position
   ♦ Expanded processing space for acquisitions to University Archives
   ♦ Holding space for collections brought in from off-site storage

5.2 We will improve access to high use archival records including personal papers and fragile special media. (See also Appendix 2)

On-site storage of University Archives collections is located on the 3rd floor of the Fisher Library and in the shared space on B1 of the Robarts Library. This latter area, which holds approximately 30% of our total holdings is not climate controlled. Thus special media such as sound and moving image records, photographs, works of art, etc. which are especially fragile are not stored in this area. These two areas of on-site storage reached

---

[21] The scope of these renovations may be impacted by a proposed shared facilities arrangement with the Media Commons department. Confirmation of such an arrangement has not been finalized with the Chief Librarian and Head, Media Commons.

capacity in 1996 at which time the Archives began shipping acquisitions of university records off-site to a commercial records storage vendor (Iron Mountain).

While this approach has worked for general administrative paper-based records, it is not appropriate for special media archives such as sound and moving image records, photographs, works of art or architectural drawings since these require a) a stable climate controlled environment and b) appropriate physical storage and handling to ensure preservation. For example architectural drawings are oversized and need to be stored flat to ensure long term preservation. Regular shipping of such records from an off-site storage facility would require special packaging and handling. Thus it is recommended that such materials be accommodated on-site in the Fisher/Robarts Complex. In addition, the Archives acquires the private records of individuals for which a tax receipt is issued for the monetary value of the gift in kind. These collections as fixed assets must be stored under appropriate conditions in compliance with requirements under Cultural Property Review Board and Revenue Canada. One such accession that is being stored in questionable conditions is Mathers and Haldenby architectural plans collection. (B1995-0055). The Archives has not been able to transfer the more than 5000 items to the Fisher Building from their current storage space in the basement of 215 Huron because of the lack of appropriate storage space and equipment.

3ʳᵈ floor
♦ Compact storage system for growing collection of UTARMS private records and special media materials (subject to load allowance – currently 150 lbs per sq. ft).

5.3 We will invest in high density storage to house and preserve low use university archival records and non-permanent administrative records of university offices.

In objective 4 we identified the need for improved University-managed high density storage for university records by creating the University Records and Archives Centre at Downsview. As mentioned under objective 1, the cost of off-site storage and retrieval has grown over the past nine years to about $16,000 annually as the extent of acquisitions of permanent value archival records has grown. The storage of University archival records in a commercial records storage facility was envisioned as a short term solution to what has become a long term problem. The need for a separate facility for off-site storage of university records of archival value parallels the Library's need for increased storage of book materials over the next 13 years. Combining the function of archive storage with that of a University records centre for the temporary storage of semi-active and inactive administrative records scheduled for eventual destruction, is a cost-effective long-term strategy.

Objective 5: Archives space: A Place for Discovery, Learning and Education

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
5.1 We will revitalize Archives space as a place for discovery, learning and education.	o We will plan and implement the redesign of the 4th floor, Fisher Library to accommodate staff work area, enhanced reading room space for researchers with a separate consultation area. o	o Reading room area is quiet while Reference desk area allows consultation with researchers by phone, in person or by computer	o UTARMS o Robarts/ Fisher Rare Book Libraries	o OTO funding from central University Budget
5.2 We will improve access to high use archival records including personal papers and fragile special media.	o We will plan the redesign of the 3rd floor stack area to accommodate multi-media materials and personal records collections on compact mobile shelving	o 3rd floor stack area stationary shelving is replaced with compact mobile shelving allowing 100% additional on-site storage	o UTARMS o Robarts/ Fisher Rare Book Libraries	o OTO funding from central University Budget
5.3 We will invest in high density storage to house and preserve low use university archival records and non-permanent administrative records of university offices.	o We will request off-site storage at Downsview in a designated module for both Archives and non-permanent university administrative records.	o University records (archival and non-archival) are preserved for as long as required. o Annual transfers of 122 metres (400 cu. feet) to commercial records storage facility until suitable space is available at Downsview facility	o UTARMS o Robarts/ Fisher Rare Book Libraries	o OTO funding from central University Budget

Objective 6: Staff support and renewal

The objectives in this section essentially echo those of the Library's Plan. As a department within the Library, the University Archives' staff are supported by the Library's Human Resources Department. The Library develops and implements staff training to meet library-wide needs in areas of customer service training, software training, etc. Some, but not all of these training initiatives meet the needs of Archives staff. Casual staff (ALT's), for example, benefit from orientation sessions on the Library's operations as a whole and full time staff has taken advantage of Library-wide training in word processing and email use.

The University Archives consists of 6 full time staff representing 3 different employee groups: United Steelworkers of America (4 archivists), CUPE 1230 (1 reference specialist) and UTFA (university archivist), as well as 1FTE casual (CUPE 1230 part-time). Archivists, as one might expect, have special professional needs with regard to continuing education in archives and records management practices and principles, electronic records management, copyright, access to information and protection of privacy, special media such as photographs, sound and moving images, oral recordings, architectural drawings, and donor relations. The Library has been generous in its support for conference, workshop and training activities for the four staff archivists and the university archivist. During 2003-2004, 3 of the 4 staff archivists received financial assistance to attend national conferences on archives, records management and an international conference on sound and moving image archives. The Archives Assistant has attended training sessions on various software packages related to web development offered by the Library and by the University's Staff Training and Development office. We expect the Library will support these continuing education initiatives as required during the next planning period.

The University Archives is expecting the retirement of two staff archivists during this planning period. It is essential that both positions continue to be funded in order for the department to reach any of the goals identified in this planning period. As mentioned in our self study section, UTARMS lags behind its Canadian and US counterparts in staffing. The continuing support of the Chief Librarian and Senior University officials (presumably in the form of the PACARM) is essential during what could be a period of budgetary constraint.

Objective 6: Staff Support and Renewal

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
6.1 We will nurture an organizational culture which values trust, mutual respect, fairness, diversity, courtesy and integrity.	o We will work to achieve positive employment relations o We will resolve conflicts at the earliest stage o We will strive for open and effective communication o We will encourage collaboration and team work o We will provide an organizational structure which is supportive and flexible enough to meet changing needs	o All staff continue to meet regularly with university archivist o Monthly staff meetings are held as requested by staff o Staff continue to participate in planning and development of Archives	o All staff	o Existing staff
6.2 We will support and retain the best employees for the jobs to be done.	o We will develop comprehensive orientation programs for new staff to familiarize them with the University and Library, to facilitate exchanges in different departments, to provide options for coaching, mentoring and career development guidance. o We will strengthen our staff development and training programs. o We will focus on customer service training. o We will provide training specifically focused on improving the student experience. o We will develop new web based training resources and an expanded staff development web site o We will provide leadership and	o University Archives staff participates in Library key objectives as appropriate	o All staff	o Existing staff

Objectives	Key Strategies	Measures of Success	Responsibility	Resources
6.2 We will support and retain the best employees for the jobs to be done. (cont'd)	management training focused on staff support o We will foster international staff exchanges to encourage information exchange and the introduction of new initiatives: we will explore the establishment of an international centre to facilitate this activity			
6.3 We will attract and recruit the best employees for the jobs to be done.	o We will develop an internship program with FIS to provide a practicum as part of the new FIS curriculum o We will advertise widely within and outside the University to attract the best candidates.	o Retiring staff is replaced with candidates meeting all qualifications.	University Archivist in consultation with Chief Librarian and Senior University officials (PACARM)	Library staffing budget and/or Central University Budget

Appendix 1 **Timelines**

Objective	Year					
	2004-2005	2005-2006	2006-2007	2007-2008	2008-2009	2009-2010

1.1 ───►

1.2 ──────────────────────────────────────►

1.3 ────────────────────────────────────►

1.4 ──────────────────────────────────►

2.1 ────────────────────────────────►

2.2 ──────────────────────────────────►

2.3 ──────────────────────────────────►

3.1 ──────────────────────────►

3.2 ──────────────────────────────────►

Stepping Up 2004-2010 at the University of Toronto Archives and Records Management Services: Strategies for Information Management in the 21st century

Timelines

Objective   **Year**

2004-2005	2005-2006	2006-2007	2007-2008	2008-2009	2009-2010

3.3

3.4

4.1[22]

4.2

4.3

4.4

5.1
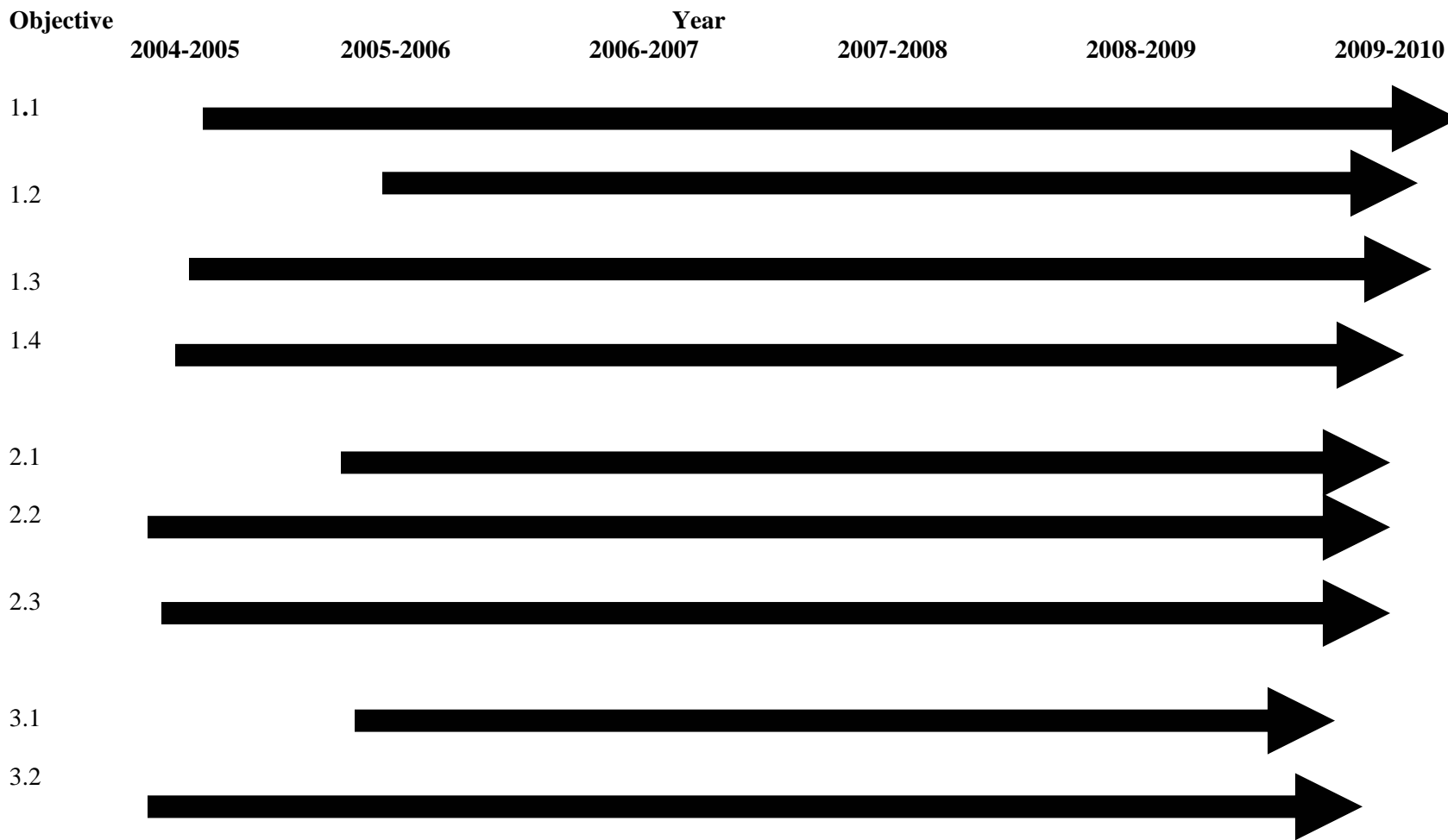
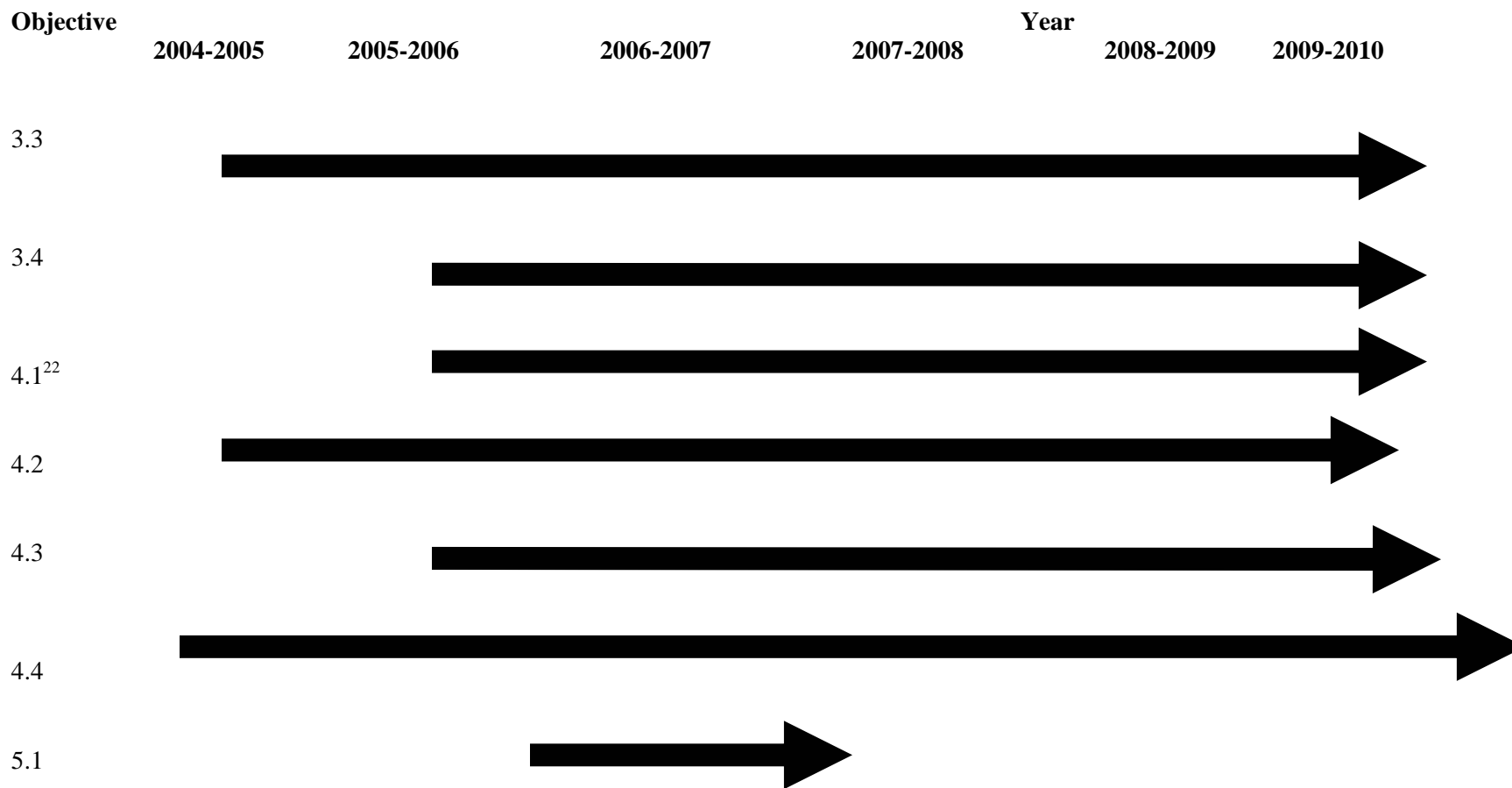
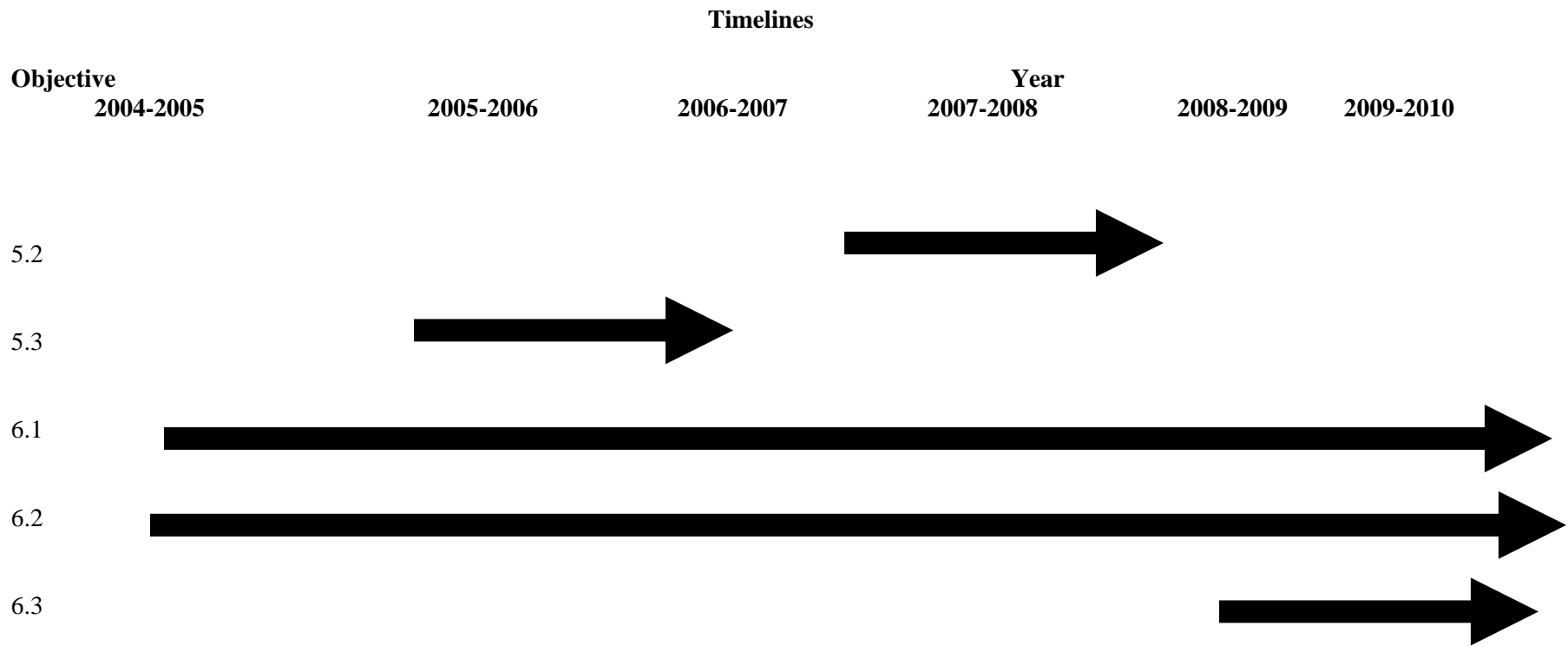[22] Dependent on establishment of Task force.

Stepping Up 2004-2010 at the University of Toronto Archives and Records Management Services: Strategies for Information Management in the 21st century

Timelines

Objective

Year

	2004-2005	2005-2006	2006-2007	2007-2008	2008-2009	2009-2010

5.2

5.3

6.1

6.2

6.3

Appendix 2   University Archives Space and Storage

Fisher/Robarts Complex and Off-site

The two tables below provide some figures on current storage capacity and projected storage needs. As has already been stated, on-site capacity for the University Archives has been exhausted since the mid 1990s.

Shelving capacity
April 30 2004

Floor	Shelving (metres)	Type of Shelving	Office Area (Sq. Metres	Total area (Sq. Metres)
Current storage capacity:				
4th floor (Fisher)	1156	Open	720	952
3rd Floor(Fisher)	3427	Open	22	624
Sub-total (Fisher)	4583			
B1 (Robarts)	1358	Compact / Metal		See total below
	617	Compact / Wood		
	154	Open		
Subtotal B1(Robarts)	2129			322
Total on-site	**6712**	**Mixed**	**742**	**1898**
Total off-site	**1607**			
Grand total	**8319**			
Additional storage capacity 2004-2010:				
3rd floor (Fisher)	3500			
Downsview	1397 (910 m. estimated growth plus 487 m. from commercial storage)			

Architectural drawings storage

Floor	No. of Cabinets	No. of drawers/ drawings	Space (sq ft)/ cabinet	Total area (Sq.M.)
4th floor (Fisher)	4 (2 per stack)	40 / 1200	18	36
3rd floor (Fisher)	6 (2 per stack)	30 / 3000	18	54
NB: Total does not reflect entire collection; many plans too large for cabinets are stored on top of cabinets on 3rd and 4th floor or in boxes on shelves.				
Estimated storage for 250,000 drawings from Capital Projects office:				
Off-site	833	10 /300 per cabinet	18 (3 cab. Per stack)	467

Appendix 3   Organizational Chart

GARRON WELLS
University Archivist

BARBARA EDWARDS
Archives Assistant

HAROLD AVERILL
Asst. University Archivist

LAGRING ULANDAY
Records Archivist

MARNEE GAMBLE
Special Media Archivist

LORYL MACDONALD
Records Archivist
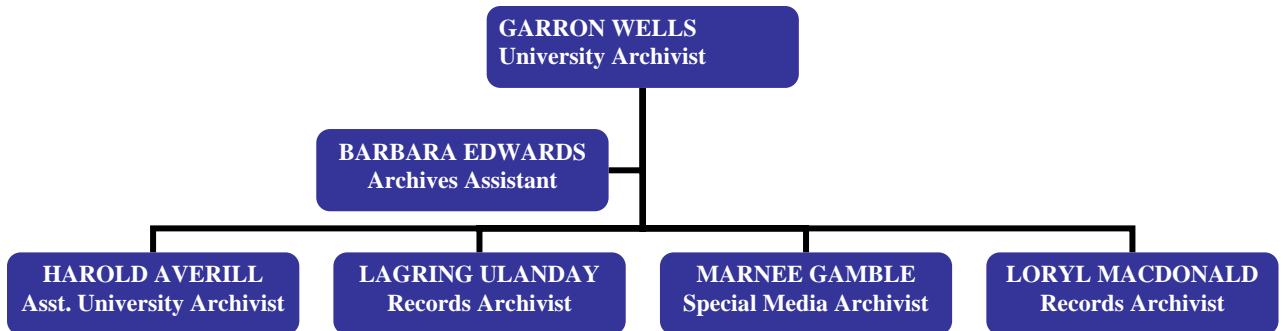
Appendix 4 Presidential Regulations and PACARM

Presidential Regulations for the Management of Archives and Records

1. The University of Toronto Archives appraises, acquires, preserves, and makes available for use the corporate and non-corporate records of the University.
2. A Presidential Advisory Committee on Archives and Records Management shall be appointed by the President to recommend policies and procedures governing the creation, use, storage, archival preservation and disposition of the University's corporate records.
3. The Archives of the University include:

    3.1 Corporate records of the University created, received and accumulated by the University academic and administrative offices and officers and by the various governing bodies of the University which have archival value;

    3.2 Non-corporate records of the University, which include the personal records of faculty, staff and alumni, and the records of organizations associated with the University having archival value.

4. Corporate records of the University are the property of the University. Officials leaving or relinquishing their positions with the University shall leave all corporate records for their successors. Corporate records of archival value are transferred to the University Archives in accordance with the records disposition schedules developed by the University Archives through the records management process and approved by the Presidential Advisory Committee on Archives and Records Management.
5. Non-corporate records of archival value may be deposited in the University Archives in accordance with terms agreed upon by the owner and the University Archivist.
6. The University Archivist shall be accountable to the Presidential Advisory Committee on Archives and Records Management for the execution of this policy.
7. Access to corporate records of the University shall be open unless otherwise restricted for a time period established by the office of origin in consultation with the University Archivist or specified in a retention schedule and consistent with applicable legislation and with the appropriate regulatory and administrative policies of the University.
8. This Policy replaces the Presidential Policy Statement on Archives dated 30 March 1967.

[Approved by the Office of the President: 1989 05 25]
[Revised: 1991 06 20]
[Revised: 1992 07 02]

Presidential Advisory Committee on Archives and Records Management
Terms of Reference

1. **PURPOSE**

1.1 To advise the President on the policies and procedures of the University Archives.

1.2 To review and approve the development, implementation and maintenance of the University's Records Management Programme, including the institution of a standard file classification system for corporate records and the establishment of records retention and disposition schedules.

1.3 To 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.

1.4 To ensure the preservation and use of the University's corporate records possessing archival value.

2. **MEMBERSHIP**

Members shall serve by virtue of their office and include the:

2.1 University Registrar (or nominee);
2.2 Secretary, Governing Council (or nominee);
2.3 Vice-President, Administration and Human Resources (or nominee);
2.4 Vice-President and Provost (or nominee);
2.5 University Librarian (or nominee);
2.6 University Archivist (Executive Secretary).
2.7 Two ad hoc members appointed by the President.

3. **OFFICERS**
The Committee shall have a Chairperson who shall be appointed by the President from the membership of the committee. The University Archivist shall serve as Executive Secretary to the Committee.

4. **GENERAL PROCEDURES**
4.1 The Committee shall meet at least annually. Meetings will be at the call of the Chairperson.

4.2 The University Archivist shall report annually to the President through the Committee on matters relating to Archives and Records Management.

4.3 The University Archivist is responsible for the development, implementation and maintenance of a comprehensive records management programme. Records

management is a systematic approach to the creation, use, storage, retrieval, disposal and archival preservation of the corporate records of the University through:

4.3.1 Inventories of administrative and operational records;

4.3.2 File classification systems standardized for efficient and effective retrieval of information;

4.3.3 Records retention and disposition schedules documenting the active, semi-active and inactive stages of record series and directing their destruction or transfer to the University Archives for permanent retention because of their archival value.

4.4 The University Archivist is responsible for the appraisal of the University's corporate records to ensure the permanent preservation of records possessing archival values. Archival values are residual values accorded to inactive records by the Records Archivist for those record series possessing legal/individual rights values (values which protect the rights of the University and of individuals associated with the University), evidential values (values which document policy and decision-making activities), informational values (values which contribute substantially to research in any field of knowledge).

5. **RECORDS OFFICER**

A Records Officer shall be designated for appropriate university academic and administrative offices. The Records Officer shall be responsible for the application of records management policies and procedures approved by the Presidential Advisory Committee on Archives and Records Management.

Revised section 1.3 1992 07 02
Revised section 2.3 1994 10 20