

RECORDS RETENTION SCHEDULES FOR QUEBEC ACADEMIC INSTITUTIONS

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CREPUQ – Archivists Sub-committee

Produced by Archivists Sub-committee,
under the aegis of the CREPUQ Secretaries-General Committee.

In June 2003, the *Conference of Rectors and Principals of Quebec Universities* received an award for this publication from the *Association des archivistes du Québec* :

"The *Association des archivistes du Québec* is proud to grant the 2002-2003 Organization Award to the *Conference of Rectors and Principals of Quebec Universities (CREPUQ)* in recognition of its major contribution to the development of archival sciences in Quebec, elsewhere in Canada and around the world."

[\(See the press release.\)](#)



CREPUQ
CONFÉRENCE DES RECTEURS
ET DES PRINCIPAUX
DES UNIVERSITÉS DU QUÉBEC

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AUCC-CREPUQ Introductory Remarks

The *Recueil des règles de conservation des documents des établissements universitaires québécois* and its English language translation, *Records Retention Schedules for Quebec Academic Institutions* reflect a series of collaborations aimed at promoting more efficient management of university-based records and record keeping systems. Quebec university archivists have provided significant leadership in both archives and records management, bringing together their shared expertise as CREPUQ's Sub-Committee of Archivists. The opportunity to share the advances made by Quebec universities was first proposed to English Canadian archivists by Guy Diné (Division des archives, Université Laval) shortly after the publication of the *Recueil*. The positive response to the possibility of additional collaboration from both CREPUQ and AUCC, as well as the interest of the archival profession (Association of Canadian Archivists) and their institutions (Canadian Council of Archives) was further evidence of a growing momentum toward interuniversity co-operation and collaboration particularly on the issue of better managing our growing information assets.

As a guide to the maintenance of university records *The Quebec Schedules* provides critical advice to institutions in a time of increasingly complex and diverse record keeping. As the management of university records attracts attention on the international level through the International Council of Archives Section on University Archives, we trust this translation, and the original French-language *Recueil*, will be recognized for their ground-breaking quality and originality. We are confident that this collaboration and the approval of *The Quebec Schedules* by both the AUCC and CREPUQ represent a significant step for university record keeping.

We would like to recognize the work of the English-language editors, Johanne Pelletier (McGill University Archives) and Garron Wells (University of Toronto Archives) without whom the completion of this project would not have been possible. Our thanks also to Claude Minotto (Université de Montréal), André Gareau (Université du Québec à Montréal), Robin Keirstead (University of Western Ontario), the CREPUQ Archivists' Sub-Committee, and the Secretary Generals' Committee for their input and support throughout the project. The coordination of this effort was facilitated and supported by our own organizational staff, most significantly, Yvon Albert Laurendeau (CREPUQ), Rosemary Cavan (AUCC), and Roger Charland (CREPUQ's webmaster).

Robert G. Giroux
President-Director General, AUCC
December 2003

Jacques Bordeleau
Director General, CREPUQ

Technical Introduction

The English language translation of *Recueil des règles de conservation des documents des établissements universitaires québécois (2002)* is entitled *Records Retention Schedules for Quebec Academic Institutions*, or its shorter form for the purposes of the text, *The Quebec Schedules*. It is important to note that this translation is not an adaptation of the records retention schedules for English Canada, or any specific jurisdiction therein. Our purpose as Editors of the English translation was to ensure that the translation produced by an independent firm was not only technically accurate but a true reflection of the spirit and intent of the original French language version. For this reason all references to Quebec-specific legislation and context affecting academic institutions have remained intact as reference points in the schedules and text.

Analysis of the completed translation did however present a number of questions around the different uses and meanings of records management terminology in the English and French languages. In these instances we came to agreement on the selection of English terminology best suited to the original meaning of the French language term, aiming always for terms both suitable and meaningful to an English speaking audience. Our editorial decisions were based on ensuring readability, accuracy of content, and consistency of language and terminology.

While the title of the original French document refers specifically to universities in the province of Quebec, the English title suggests a broader view (inclusive of all academic institutions) but should not be assumed to be applicable to colleges. The document applies to universities (and other advanced-degree type bodies) but does not apply specifically to colleges. While all (academic/post-secondary) institutions may find relevance in the schedules, the specific needs of colleges in English-Canada have not been taken into account in their preparation. Finally, on the subject of the title, the shortened version, *The Quebec Schedules*, was a compromise offering some economy throughout the textual parts of the translation, and more importantly, carrying what we consider to be the significant symbol of its origins within Canada. Only minor additions were necessary in the navigation and introduction sections in the form of "Editor's Notes". These comments were included where English-language readers unfamiliar with Quebec records-related publications and legislation would benefit from more information. These notes were also used where issues of terminology and the application of retention recommendations were unclear or the subject of discussion amongst the reviewers.

Note that where there was no official English-language translation available for publication titles or names of official bodies, we noted only the French-language version. However the Editors' Notes offer explanation in plain English on the nature and subject of the cited publications as they appear in the main body of the Introduction. Unofficial translations of the names of official government bodies are

noted below along with those instances in which a decision around records management terminology was applied throughout the document:

- **“Règles”** (referring to individual records retention schedules or rules) – translated as **“schedules”**
- **“Recueil”** where used as the shortened form of the French title – translated as ***The Quebec Schedules***
- **“Informatique”** in the media form legend within each schedule – translated as **“electronic”** (rather than “computer” or “computer-generated”)
- **“Fichier informatique”** referring to specific rules for electronic records – translated as **“electronic records”** (rather than “computer files” or “electronic files”)
- **“Élimination”** – translated as **“destruction”**
- **“Conservation”** – translated as **“retention”**
- **“Calendrier de conservation”** – translate as **“records retention schedule”**
- **“Resources documentaires et muséologiques”** in Chapter 9, was translated as **“Archives, Library and Museum Holdings”** (rather than Documentary and museological holdings)
- **“Commission d'accès à l'information du Québec”** (Quebec's access commission)
- **“Commission des biens culturels du Québec”** (Quebec's commission on cultural property issues)
- **“Archives nationales du Québec”** (Quebec's national archives)
- **“Calendrier-type de conservation des documents”** (model retention schedules)
- **“Établissement du calendrier de conservation des documents informatiques d'un organisme public”** (establishment of a retention schedule for electronic records held by public organizations)

The index is an edited translation of the original French-language index, including as in the original, title, key word, and subject entries. The only changes occur where our choice of terms (as in the above listing) was different from the literal translation provided by the translation firm. The *Introduction* for both languages clearly states that the *Recueil* or *Schedules* represent a general model and are not intended to be prescriptive for all institutions concerned. Indeed the purpose of the project was to provide a common guide or baseline approach, on which institutions can build, adapt and further elaborate schedules (and index) according to their institutional context.

This project would not have been possible without the collaboration and contribution of a range of institutions and individuals. We would first like to extend our thanks to the Conférence des recteurs et des principaux des universités du Québec (CREPUQ) and the Association of Universities and Colleges of Canada (AUCC) for their initiative and support of this collaborative project. The CREPUQ and AUCC representatives to this project, Yvon-Albert Laurendeau (CREPUQ), Claude Minotto (Chair, Archivists Sub-Committee of CREPUQ), and Rosemary Cavan (AUCC) in particular provided invaluable assistance, guidance and encouragement.

Our thanks also go to the Association of Canadian Archivists and the Canadian Council of Archives (in particular Bryan Corbett and Cheryl Avery respectively) for their support, and to Roger Charland (CREPUQ's Web Master) for his work on the on-line version.

Two colleagues from the university archives community were invited to participate as our external English and French language readers. André Gareau, the Project Archivist on the compilation of the original French language *Recueil* (and currently Archivist with the Service des archives et de gestion des documents, Université du Québec à Montréal) and Robin Keirstead (University Archivist for the University of Western Ontario) provided important and much appreciated comments, insights, and keen editorial skills. Their contributions have been key in ensuring the final version is both accurate and readable. Finally we are indebted to our sponsoring institutions, McGill University and the University of Toronto for allowing time for this important project.

Johanne Pelletier
University Archivist and Director
McGill University Archives
Service des archives de l'Université McGill

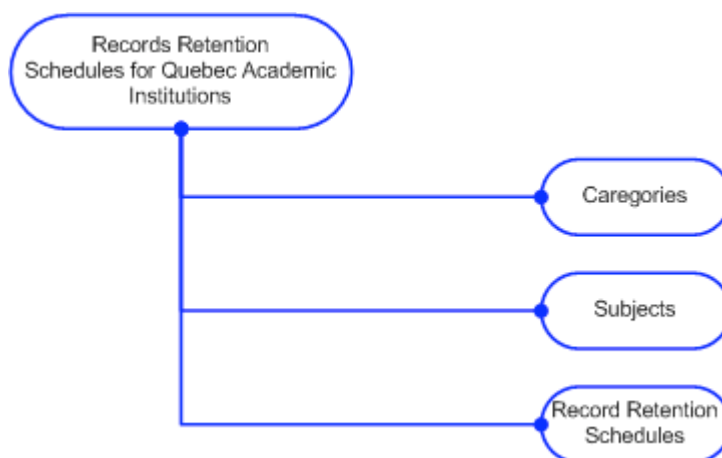
Garron Wells
University Archivist
University of Toronto Archives and
Records Management Services

August 2003

Navigation

The electronic version of the current *Records Retention Schedules for Quebec Academic Institutions* is accessible to the public at <http://www.crepuq.qc.ca>. This web-based format is the preferred medium for distribution in the hope that its greater availability will benefit the broader community of professional archivists, records managers and students interested in this area.

The Quebec Schedules is organized hierarchically into categories, subjects and schedules, as shown below:



Navigation Options

Hierarchical Navigation: The navigation menu at the top of each page shows links to the components of this structure (the categories, subjects, and the individual schedules themselves). Selecting the categories link will open a window displaying the list of categories of schedules (as below):

RETENTION SCHEDULE CATEGORIES

- 01 [Administration](#)
- 02 [Human Resources](#)
- 03 [Financial Resources](#)
- 04 [Real Property and Movable Assets](#)
- 05 [Student Affairs](#)
- 06 [Community Services](#)
- 07 [Teaching](#)
- 08 [Research and Development](#)
- 09 [Information and Communications](#)

Each of these nine categories leads to schedules grouped sequentially by [category](#), [subject](#) and [schedule](#). Further selection of a category link will lead to the listing of schedules associated with the category according to subject. To access and print an individual schedule, select the individual number associated with the schedule of interest.

List of Schedules: Selecting [List of Schedules](#) in the navigation menu will bring up the complete list of schedule numbers and titles, and allow navigation according to category, subject and schedule. The following illustrates an example of part of the list:

02 – Human Resources (CATEGORY)	
STAFFING (SUBJECT)	
02.01	Position management – Electronic records
02.02	Staff and position management
02.03	Staff functions
02.04	Staff recruiting – Electronic records
02.05	Staff recruitment
02.06	Staff hiring

Index Access: Selecting the Index in the navigation menu will bring up a list of the letters of the alphabet, with each letter leading to a list of list of keywords and expressions, and the corresponding schedule numbers. Selecting a single schedule number will lead to the corresponding schedule. The following example is an extract from the index listing references to schedules that include the keyword "media":

09.06	Media
09.07	Media
07.32	Teaching media

The following example shows the various parts of the table for an individual schedule:

[1] 07 - TEACHING / TEACHING ORGANIZATION					
[2] 07.04	[3] Programs: General evaluation and changes				
<p>[4] Records dealing with the evaluation of and changes to the institution's educational programs: periodic evaluation plan, evaluation files (consultations program directors, professors and students, evaluation indicators), files of program modifications (minor revisions, major changes) etc.</p>					
[5] copy	[6] unit		Active	[7] semi-active	inactive
primary [a]	Responsible unit		X ¹	5 years	R ²
secondary [a]	other units concerned		2 years		D
<p>[8] Notes: (D = Destruction R = Retention)</p> <p>¹ Retention for 2 years after program evaluation or modification. ² Archives selection: Retention of recapitulative reports documenting general program evaluations and changes. Destruction of support records.</p>					
<p>[9] [] = Medium --->a = paper b = microfilm c = electronic d = audio-visual e = other</p>					
[10] PREVIOUS SCHEDULE NEXT SCHEDULE					
					[11] Updated: 14/3/02

Note: Parts numbered from 1 to 11 in the above table are explained in the Legend on the next page.

Legend	
[1]	Category / Subject
[2]	Schedule number
[3]	Schedule title
[4]	Description of records covered by the schedule
[5]	Distinction between primary copy and secondary copies of records included
[6]	Originating unit or holder of the primary copy and of secondary copies
[7]	Retention period or disposition prescribed for active, semi-active and inactive stages
[8]	Notes on schedule application
[9]	Record medium, indicated by letters a, b, c, d and e
[10]	Navigation between schedules in the List of Schedules section
[11]	Date of most recent update of schedule by CREPUQ

More detailed methodological information can be found in the [Introduction](#) to *The Quebec Schedules*.

Happy navigating!

Roger Charland, Librarian
Head, Documentation Centre
Webmaster, CREPUQ

Foreword

Records Retention Schedules for Quebec Academic Institutions (The Quebec Schedules) was produced by the CREPUQ Archivists Sub-committee under the authority of CREPUQ's Secretaries-General Committee. The project took two years to complete and represents an original, state-of-the-art contribution to this field. The painstaking attention given to the various stages of a record's life cycle, the structures of university and public archives, and to the preservation of digital records attests to the vision and effectiveness of Quebec's university archivists.

The Quebec Schedules serves as a guide and model for the maintenance of records retention schedules in Quebec universities. It offers a means of better controlling and efficiently managing records produced and maintained by academic institutions. Our hope is that it will prove equally useful to other organizations, especially other teaching bodies, in its on-line format via the CREPUQ Web site. The Archives nationales du Québec, in approving *The Quebec Schedules*, recognized its quality and originality, especially in integrating computerized files with other types of records.

Thanks and congratulations are due to the university archivists for this outstanding contribution to the management of our archival heritage. It is an eloquent example of interuniversity co-operation for the greater good of all academic institutions and indeed for society as a whole.

Jacques Bordeleau
Director-General,

Acknowledgements

Records Retention Schedules for Quebec Academic Institutions (The Quebec Schedules) is the product of the collaboration and contributions of a number of people working within the framework of CREPUQ. First, thanks must go to CREPUQ's Secretaries-General Committee for its unflagging support and confidence, from the project's inception to its completion. Great appreciation is also due to the Archivists Sub-committee, for its meticulous supervision of each stage of the work.

For their expertise and participation in its meetings, I want to thank the members of the Working Group on *Records Retention Schedules for Quebec Academic Institutions*, composed of Guy Diné, Université Laval; Christiane Huot, Université du Québec à Montréal; Pierre Lavigne, École Polytechnique; and myself (the undersigned), of the Université de Montréal. I especially want to acknowledge the Université du Québec à Montréal and André Gareau, their archivist, who so competently managed the project over eighteen months, and met every deadline. I must also make special mention of the École Polytechnique and Pierre Lavigne, who developed a database that could accommodate all the schedules.

Thanks are due as well to CREPUQ's Legal Counsel Sub-committee, and particularly Lucie Dick of the Université de Montréal, and Normand Petitclerc of the Université du Québec à Montréal, for their thorough review of the legal implications of the schedules and for their wise advice.

Equally invaluable were the support work done by CREPUQ's research staff, Danielle Laforest and Yvon Albert Laurendeau, who also served successively as secretary to the Archivists Sub-committee, and the text preparation done by CREPUQ's Webmaster, Roger Charland.

Lastly, I want to thank the Archives nationales du Québec and the Commission des biens culturels du Québec for the care they took in examining and analysing *The Quebec Schedules*, approved by the Archives nationales du Québec in March 2002.

Claude Minotto
Director, Division des archives
Université de Montréal

Co-ordinator, *Records Retention Schedules for Quebec Academic Institutions* Working Group and Chair, Archivists Sub-committee

INTRODUCTION

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1. OVERVIEW

This third edition of *Records Retention Schedules for Quebec Academic Institutions (The Quebec Schedules)* published by the Conference of Rectors and Principals of Quebec Universities (CREPUQ), provides a complete revision of retention schedules for paper records, as well as updated schedules for electronic records previously published in *La gestion des archives informatiques*. [Editors' Note: *La gestion des archives informatiques* is a study of electronic records issues and proposed solutions was produced by the CREPUQ Archivists Sub-Committee, and published by the Presses de l'Université du Québec in 1994].

Well before the implementation of the *Archives Act*ⁱⁱ, Quebec universities have played a crucial role in the development and application of retention schedules, including the early integration of these instruments into the management of archives. By 1985, CREPUQ had produced the first edition of the *Calendrier-type de conservation des documents* on behalf Quebec universities. [Editors' Note: *Le calendrier type* was the first edition of collected "model" or typical retention schedules for Quebec academic institutions, published by CREPUQ in 1985; note that all subsequent references to the *Archives Act* refer to Quebec's *Archives Act* R.S.Q., A-21.1.]

Since the *Archives Act* Quebec archivists in other sectors have developed retention schedules based on the *Calendrier-type* and examples established by Quebec university archives. These sectors have included health and social service institutions, municipal courts, police services, school boards and CEGEPS, each working together to develop retention schedules as well as criteria for the selection of records for permanent retention.

This edition of *The Quebec Schedules* also incorporates developments in archival science emerging since earlier editions and integrates comments from the Archives nationales du Québec. It is hoped that this edition will encourage Quebec academic institutions to develop new or revise existing schedules and greatly facilitate communication on retention schedule approval with the Archives nationales du Québec.

It should be noted that the current edition, like its predecessors, sets out minimum retention periods that may be accepted as written or adjusted to suit institutional practices. While the retention periods for active and semi-active records may be modified to suit institutional needs, the disposition of inactive records as presented in each of the schedules (destruction, further selection at archives, or retention) is strongly recommended. This recommendation serves the interests of establishing uniformity in documentation available throughout various archival holdings of Quebec's universities.

1.1 Working Group mandate and membership

In order to meet the records management needs of Quebec universities and reflect articles 7 and 8 of the *Archives Act*, CREPUQ's Secretaries-General Committee directed its Archivists Sub-committee to develop a new edition of records schedules incorporating developments in both Quebec law and archival practice. On February 3, 2000, the CREPUQ Archivists Sub-committee set up a Working Group to carry out this task. The group was composed of:

- Guy Dinel, Head, Division des archives, Université Laval
- Christiane Huot, Director, Service des archives et de gestion des documents, Université du Québec à Montréal (UQAM)
- Pierre Lavigne, Director, Service des archives, École Polytechnique de Montréal; and
- Claude Minotto, Director, Division des archives, Université de Montréal, and Chair of the Working Group.

CREPUQ delegated responsibility for the project to the Archives and Records Management Service of the Université du Québec à Montréal and to André Gareau, Archivist at UQAM. They were to revise and complete the retention schedules in the second edition of CREPUQ's *Calendrier-type de conservation des documents* (1986) and in *La gestion des archives informatiques* (1994).

1.2 Theoretical framework

1.2.1 Records retention schedules

A brief look at the theoretical framework will provide a clearer understanding of retention scheduling, both as an effective tool for universities to comply with the *Archives Act* and as a key element of records management programming. Articles 7 and 8 of the *Archives Act* require every public institution to establish and keep current a retention schedule for its records:

Art. 7 – “Every public body shall establish and keep up to date a retention schedule determining the periods of use and medium of retention of its active and semi-active records and indicating which inactive records are to be preserved permanently, and which are to be disposed of.”

Art. 8 – “[...] Every public body referred to in paragraphs 4 to 7 of the schedule [to this Act] shall, in accordance with the regulations, submit to the Minister, for approval, its retention schedule and any modification respecting the addition of new records or records scheduled for permanent preservation.”

The *Archives Act* defines the term “archives” as “the body of records of all kinds, regardless of date, created or received by a person or body in meeting requirements or carrying on activities, preserved for their general information value”.

Retention schedules are thus the principal elements in any records management program and constitute an institution's official policy on the preservation and disposal of its records. They serve as a working tool describing standards for length

of retention, and processing of records, from their creation to their destruction or transfer to the archives.

By the term “record” we mean any information conveyed on a medium and intelligible in the form of words, sounds or images^{liii}.

The formulation of a records retention schedule must then meet several objectives:

- identification and protection of records that are essential or of historical importance;
- reduction in the volume of records;
- reduction in the cost of records retention; and
- enhanced administrative effectiveness.

1.2.2 *The Quebec Schedules*

The primary purpose of a collection of retention schedules is to provide a common basis for institutions in a given sector to develop their own retention schedules.

The demands of the *Archives Act* and regulations emerging from it such as the *Retention schedules, transfer, deposit and disposal of public archives (Regulation respecting the Archives Act R.S.Q. A-21.1,r.1)*, have underlined the need for published examples of retention schedules that will assist academic institutions in developing their own retention schedules.

1.2.3 *Life cycle of the record*

[Editors’ Note: The definitions of active, semi-active, and inactive reflect those used in North American records management literature such as the *Glossary of Records and Information Management Terms, 2nd Edition (2000)* published by ARMA International. For those institutions that regard the semi-active and inactive as similar phases, the use of “inactive” here refers to a point at which final disposition of the records is assigned or determined.

Readers should be aware that the retention recommendations may suggest workflows that are not applicable or reflective of all contexts - institutions are encouraged to adapt the schedules to existing circumstances and or workflows.]

The evolution of a record’s value is reflected in the stages of its life cycle: active, semi-active and inactive.

Active phase

In the first phase of the life cycle, a record is used regularly by its creators. Such records are called ACTIVE. In this phase, the records are kept in the unit that created them, and are filed or organized according to a classification system for ease of access.

Semi-active phase

In the second phase of the life cycle, a record is used occasionally by its creators. Such records are called SEMI-ACTIVE. In the interests of freeing space and equipment, such records having ended their active phase are transferred the semi-active records centre of an archives. The unit transferring such records retains all

rights in these records, and may borrow them or return them to regular use as is required.

Inactive phase

In the third phase a record is no longer used for administrative, legal or financial purposes. Such records are called INACTIVE. At this point records may be eliminated unless they have historical value (approximately 5% of the total records volume may have some historical value). Records that have historical value are transferred to the archives, and the transferring unit relinquishes jurisdiction over the records to the management of the archives.

1.2.4 Primary and secondary copies

Each of the schedules determines the length of time records will be retained by dividing them into two categories: primary and secondary copies.

The primary copy is the record that contains the most complete information on a given subject.

The secondary copy, if any, derives from the primary copy and is used as a working tool for information or dissemination. They are usually portions or reproductions of the primary copy, and are kept for a much shorter time.

1.3 Development of *The Quebec Schedules*

1.3.1 Participants and responsibilities

The Quebec Schedules is based on an analytical inventory of the retention schedules already in existence in Quebec universities and as such differs from the retention schedules developed in individual institutions.

The preparation of this document required several phases and the participation of numerous colleagues.

Development of *The Quebec Schedules* began with the project archivist's analysis of records retention schedules used in various Quebec academic institutions. This was followed by a compilation identifying similar retention schedules that could be grouped together. On the basis of this compilation proposed schedules reflecting the individual schedules reviewed were drafted. The consultation process on the proposed schedules included review by the members of the Working Group as well as the members of the CREPUQ Archivists Sub-committee, representatives of the CREPUQ Legal Counsel Sub-committee, and finally submission to the representatives of the Archives nationales du Québec. All the comments obtained through this process were analysed by the Working Group, who then made a number of adjustments, amending, creating, grouping or withdrawing certain schedules. The final version of *The Quebec Schedules* was approved by the Archivists Sub-committee, by CREPUQ's Secretaries-General Committee and (following a favourable recommendation by the Commission des biens culturels du Québec) the Archives nationales du Québec. [Editors' Note : The Commission des biens culturels du Québec is responsible for cultural property matters under Quebec's Cultural Property Act R.S.Q. B-4].

1.3.2 Methodological considerations

While *The Quebec Schedules* is intended to meet the needs of Quebec's academic institutions, it does not cover every single administrative situation, and does not include schedules too specific to any one institution or record-keeping situation. This is especially the case for certain features of terminology and the division of responsibility among different units. Records pertaining to construction, for example, might not be dealt with in the same manner by every institution, and would therefore be subject to different retention schedules.

This third edition of *The Quebec Schedules* (revised in the Fall of 2001) comprises a total of three hundred retention schedules, serving as a guide to each individual academic institution in developing and updating its own retention schedules. Since an organization's retention schedules must accurately reflect that organization's structures and activities, it is, by definition, UNIQUE; *The Quebec Schedules* will thus have to be adapted to the specific needs of each institution and each institution will have the responsibility to inventory their own records, consult their own managers and decide which of the schedules to adopt and or modify.

- Each institution will have to:
- refine the terminology (the wording of record titles);
- adapt the record descriptions to institutional practices;
- stipulate the use of the records covered;
- identify the responsible units; and
- establish selection criteria where additional selection/appraisal is required upon transferring to archives.

The schedules proposed here are general. They represent the result of an exercise in synthesizing, designed to group different records dealing with a similar subject, for which common retention periods can be established. Institutions are encouraged to formulate their own schedules by grouping them by retention schedule and characteristic features in order to facilitate their application (passage from active to semi-active to inactive, etc.).

Caution will have to be exercised in applying certain schedules developed on the basis of particular record types (preparatory records, working records, subject-matter file, ad hoc file, liaison records, list, inventory, etc.). These schedules do not preclude the formulation of specific schedules by an institution for records whose management and retention necessitate such specificity (e.g. active and semi-active periods, transfer to archives). For this reason, the following caveat applies to each of the schedules: *This schedule applies only to files or records whose subject is not covered by a specific retention schedule.*

Moreover, it is important to note that the provisions of certain schedules developed on the basis of record types have not been systematically carried over into each of the individual schedules concerned. For example, the need to retain policies, procedures and statistics, already covered in the general schedules, has not been repeated in each of the individual schedules on a given subject, although it remains applicable.

The Quebec Schedules define minimum requirements. Each institution is free to take the necessary steps to adopt different retention schedules and present them to the Archives nationales du Québec, where for example it seeks to:

- retain a record in its archives, even though *The Quebec Schedules* suggest it be destroyed;
- adopt active and semi-active retention periods longer than those proposed in *The Quebec Schedules*;
- adopt retention periods shorter than those proposed in *The Quebec Schedules* where the consequences of retention (retention costs) are considered to outweigh the risk involved in destruction of them; or
- preserve records in a medium different from that proposed in *The Quebec Schedules*.

Schedules involving retention until the 100th anniversary of an individual's birth may be applied differently according to the systems and resources of each institution (for example, an institution that does not have a system based on date of birth may establish a retention limit of eighty years from the date of transfer to the archives).

To facilitate application of *The Quebec Schedules* the current fiscal year is already understood to be included in the proposed retention limit for records with financial implications [Editors' note: this means the retention limit is the number of years recommended AND the fiscal year in which the records were created]. It is also important to ensure that schedules with financial implications comply with generally accepted accounting principles, especially those that have tax implications for the institution as well as for third parties.

In addition, each institution is responsible for the definitive submission of its retention schedules to the Archives nationales du Québec. Each institution must fill out the form for electronic records issued by the Archives nationales du Québec, entitled *Établissement du calendrier de conservation des records informatiques d'un organisme public*. The form enables institutions to spell out information that cannot be included in general schedules such as those in *The Quebec Schedules* (for example, lists of printouts, names of those responsible for the computer system, lists of data bases, etc.). [Editors' Note: The name of the form, unofficially translated is the establishment of records retention scheduling for electronic records held by public organizations. These requirements apply only to Quebec.]

Moreover, the onus is on academic institutions to remain abreast of the latest research and developments in the area of electronic records preservation, such as the InterPARES (International Research on Permanent Authentic Records in Electronic Systems) project.

1.3.3 Legal issues

As mentioned above each of these retention schedules has been reviewed by CREPUQ's Sub-committee of Legal Counsels. Institutions are however still required to review their requirements with their own legal advisors. And, though the advice of legal counsel taken in 2000-01 has been integrated into the formulation of the basic schedules presented here, constant developments in law, practice and technology warrant each institution's seeking a new legal opinion.

The Quebec Schedules were formulated in light of a number of legal implications, including:

- schedules are applied in relation to the nature of the record described rather than the area of activity of the institution for which it was created or by which it was used;
- retention periods, while taking into consideration legal requirements as stipulated in the applicable legislation, are ultimately the result of an overall appraisal of the legal issues for each type of record;
- when two retention schedules apply to the same record, the longer retention period applies;
- the original of every record relating to a lawsuit or claim must be preserved for the length of time set out in schedules 01.48, 01.50 and 01.51, upon notice by the person responsible for the aforesaid lawsuit or claim to the holder of the aforesaid original;
- schedules that suggest retention of records on microfilm or in a digital format must take into account the requirements of the Civil Code of Quebec, the Archives nationales du Québec's *Guide d'imagerie numérique - Numérisation de l'information consignée sur des supports traditionnels* and the *Act to establish a legal framework for information technology L.Q. 2001 c.32*.

[Editors' Note: The *Guide* noted above concerns digital imaging, and was produced by the Archives nationales du Québec. Also note that references to "personal information files management", as in Schedule 1.57, should not be confused with the term "Personal Information Banks" or PIBs used in other jurisdictions. In the Quebec context, this Schedule refers to the organization's method or sequence of actions required to comply with the privacy and access regulations and not the disposition of the data banks themselves.]

2. CONTENTS AND USE

2.1 Retention schedules structure

The Quebec Schedules comprises three hundred retention schedules, grouped by category based on the principal activities of academic institutions. Within each category, schedules are grouped by subject.

2.1.1 List of categories and subjects

[Editors' Note: Regarding the terminology used as category names and as subjects, the terms "administration" and "administrative" are intended in their broadest descriptive sense, referring to management of activities and functions as distinct from academic activities. The use of this term does not presuppose the existence of "operational" categories, as often used in records or file classification plans

The title "Research and development" is intended to refer to work in the scientific, artistic, and humanities and should not be interpreted as solely related to scientific and/or commercial endeavours. While the term "creation" in the original French title "recherche et création" includes notions of creator and/or authorship associated with artistic and non-scientific works, no suitable term with the same broad resonance as "research and development" was identified. Note also that the use of the term "development" does not include fundraising or "advancement" activities - these functions are described under schedules dealing with fundraising in 02 Financial Resources.]

01. ADMINISTRATION

- Administration - General
- Committees
- Historical, constitutive and regulatory records
- Planning, organization and internal governance
- Reports and statistics
- Administrative records management
- Legal affairs

02. HUMAN RESOURCES

- Staffing
- Personnel files
- Working conditions and benefits
- Occupational health and safety
- Employee evaluation, development and movement
- Labour relations

03. FINANCIAL RESOURCES

- Funding
- Budgets
- Accounting
- Salary management
- Banking, loans, investments and guarantees
- Financial statements
- Taxes

- 04. REAL AND MOVABLE PROPERTY
 - Real property
 - Movable property
 - Maintenance and repair of real and movable property
 - Security
- 05. STUDENT AFFAIRS
 - Student population
 - Admissions, registrations, evaluations
 - Student services
 - Student activities and organizations
 - Graduates
- 06. COMMUNITY SERVICES
 - Community services
 - Housing services
 - Health services
 - Legal advice services
 - Athletics
 - Food services
 - Social and cultural services
 - Conferences, symposiums, charitable activities
- 07. TEACHING
 - Teaching organization
 - Teaching management
 - Student evaluation
 - Co-operation - teaching
- 08. RESEARCH AND DEVELOPMENT
 - Research and development organization and management
 - Research and development funding
 - In-house research
 - Researchers
 - Cooperation – research and development
- 09. INFORMATION AND COMMUNICATIONS
 - Communications
 - Information
 - Telecommunications
 - Archives, library, and museum holdings
 - Audio-visual and computer

2.1.2 Retention schedule numbering

Each of the schedules in *The Quebec Schedules* is identified by a number composed of the category number of the records concerned, followed by a sequential number.

Within each category, schedules have been grouped by subject according to a sequential numbering but without any logical order.

Example: Schedule 01.27: Activity reports
Category 01: Administration
Subject: Reports and statistics
Number 27: 27th schedule in category 01

To locate the desired schedule, the user can consult the index or the numerical list of schedules; this is especially useful to get a general sense of the different schedules developed for a particular subject.

2.2 Description of information elements

Each schedule contains the following elements:

2.2.1 Retention schedule number

Two numbers: first the number representing the category concerned and a sequential number for the schedule within each category.

2.2.2 Identification of record or record series

Record title, brief description and use.

2.2.3 Copy type and medium

Description of type of copy (main or secondary) and record medium.

Medium legend:

- A: paper
- B: microfilm
- C: electronic
- D: audio-visual
- E: other

2.2.4 Unit

Name of the unit concerned: "unit responsible" for the primary copy, "other units concerned" for secondary copies.

2.2.5 Retention period and notes

Retention periods establish the duration and management of a record through its various phases: active, semi-active and inactive.

Retention periods of active and semi-active records are generally expressed in numbers of years.

The note, used in previous editions, “As long as the record is in active use”, has not been used in this project. We have opted instead for establishing a fixed time period, or have added a number of indications that should enable the active administrative life of any document to be more precisely determined.

The inactive period specifies whether the record should be destroyed or retained and the nature of further selection of records to be done at the archives. The recommendation to apply further selection at archives is always accompanied by additional information to facilitate the identification, evaluation and selection of records with historical value.

Notes may be added where the retention period cannot be expressed in terms of a number of years or where specifics are required to explain the application of time limits, retention, destruction or archival selection.

Retention period and note symbols:

- X: see note
- D: destruction
- R: retention

[Editors’ Note - Regarding specific recommendations on retention:

- where schedules refer to retention of electronic systems 10 years or as long as the system exists, the presumption is that the retention will be which ever comes first. It is assumed that additional technical and workflow requirements may be articulated if ongoing maintenance of the system is required.
- where schedules offer a similar option, such as “Retention: 5 years or the duration of warranty, whichever is longer”, the purpose is to ensure a minimum retention period covering the period of warranty.
- where a schedule refers to a specific number of years in the semi-active column (as in Schedule 2.24) the intent is to recommend a specific minimum for retention of the records.
- schedules which refer records to the archives for destruction assume that the institutional archives also offers records management services (indeed the presumption of these schedules is a close collaboration if not single service point for both archives and records management services).
- where a schedule refers to 2 years in the active phase, this may be interpreted to mean 2 years including the fiscal year in which the records are created. However, as the introduction states, particular caution must be used in the application of retention for financial records in particular.
- where schedules refer to audio-visual and photographic records, note that this may be generalized to other sound and moving image records (again these schedules are general in nature).]

2.3 Using *The Quebec Schedules*

2.3.1 Index

The index contains the significant terms used in the retention schedules as well as a number of synonyms. The corresponding schedule number is given with each term.

2.3.2 Using the printed version of *The Quebec Schedules*

The printed version begins with a detailed introduction that provides an overview of *The Quebec Schedules* (the mandate, theoretical framework, development process) as well as information about its contents and use (structure and presentation of retention schedules, description of the information contained in each schedule and procedures for use).

There is also a numerical list of all the schedules grouped by category, a detailed table of the three hundred schedules, and an index.

2.3.3 Using the on-line version of *The Quebec Schedules*

A version of *The Quebec Schedules* is available on CREPUQ's Web site (<http://www.crepug.qc.ca>). In addition to presenting all the information available in the printed edition, the site is set up to allow the user to print out schedules individually or by category.

NOTES:

[i] Archives Act (Loi sur les archives), L.R.Q., c. A-21.1.

[ii] This definition draws on language recently used in An Act to Establish a Legal Framework for Information Technology L.Q. 2001, c.32, which stipulates in article 3, "Information inscribed on a medium constitutes a document. The information is delimited and structured, according to the medium used, by tangible or logical features and is intelligible in the form of words, sounds or images. The information may be rendered used any type of writing, including a system of symbols that may be transcribed into words, sounds or images or another system of symbols. (...)" An Act to Establish a Legal Framework for Information Technology (L.Q. 2001, c.32).

LIST OF PRINCIPAL SOURCES CONSULTED:

ARCHIVES NATIONALES DU QUÉBEC with the Association de greffiers des cours municipales du Québec (1995). *Recueil des délais de conservation à l'intention des cours municipales du Québec*.

FÉDÉRATION DES COMMISSIONS SCOLAIRES DU QUÉBEC with the Archives nationales du Québec (1996). *Recueil des délais minimaux suggérés pour la conservation des documents des commissions scolaires*. Revised 1993 and amended 1996, to comply with the Civil Code of Quebec.

GOVERNMENT OF Quebec (2001). *Act to establish a legal framework for information technology*, L.Q. 2001, c. 32

GOVERNMENT OF Quebec (1983). *Archives Act*, R.S.Q., c. A-21.1.

GOVERNMENT OF Quebec (1985). *Regulation respecting retention schedules, transfer, deposit and disposal of public archives*. R.S.Q., c. A-21.1, r.1.

A. LAPIERRE GESTION DOCUMENTAIRE ENR. (2000). *Guide de gestion des documents municipaux*. Developed for the members of the Association des directeurs municipaux du Québec (ADMQ) and the Fédération québécoise des municipalités locales et régionales (FQM).

SOLUTIONS DOCUMENTAIRES GESTAR (1999). *Recueil de règles de conservation des documents des établissements de santé et de services sociaux*. Developed for the members of the Association des hôpitaux du Québec, the Association des CLSC et des CHSLD du Québec, the Association des centres jeunesse du Québec, the Fédération de la réadaptation en déficience physique du Québec and the Fédération québécoise des centres de réadaptation pour personnes alcooliques et autres toxicomanies.

Retention schedules of the following universities:

ÉCOLE DE TECHNOLOGIE SUPÉRIEURE
ÉCOLE DES HAUTES ÉTUDES COMMERCIALES DE MONTRÉAL
ÉCOLE NATIONALE D'ADMINISTRATION PUBLIQUE
ÉCOLE POLYTECHNIQUE DE MONTRÉAL
INSTITUT NATIONAL DE LA RECHERCHE SCIENTIFIQUE - INSTITUT ARMAND-FRAPPIER
TÉLÉ-UNIVERSITÉ
BISHOP'S UNIVERSITY
CONCORDIA UNIVERSITY
UNIVERSITÉ DE MONTRÉAL
UNIVERSITÉ DE SHERBROOKE
UNIVERSITY OF OTTAWA
UNIVERSITÉ DU QUÉBEC
UNIVERSITÉ DU QUÉBEC À CHICOUTIMI
UNIVERSITÉ DU QUÉBEC À HULL
UNIVERSITÉ DU QUÉBEC À MONTRÉAL
UNIVERSITÉ DU QUÉBEC À RIMOUSKI
UNIVERSITÉ DU QUÉBEC À TROIS-RIVIÈRES
UNIVERSITÉ DU QUÉBEC EN ABITIBI-TÉMISCAMINGUE
UNIVERSITÉ LAVAL
MCGILL UNIVERSITY