

Records Management Policies

Records Management



University of Cincinnati Records
Management Program

Policy and Procedure Guide

Revised November 2006

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University of Cincinnati Records Management

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Thomas J. Dodd Research Center

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Records Management

Policies

As a state agency, documents received or created by University employees, acting in their roles as University employees, are considered state records. State records may only be disposed of after specific retention periods have been met and permission has been received from the Connecticut State Library.

Definition of a Record

Record --Public records are defined in General Statutes Section 1-200(5) as: "any recorded data or information relating to the conduct of the public's business--prepared, owned, used, received, or retained by a public agency, whether such data or information be handwritten, typed, tape-recorded, printed, photostatted, photographed, or recorded by any other method."

Non-Record --The above definition is very broad. The physical characteristics of non-record materials are the same as record materials. The differences between a non-record and a record are the reasons for keeping the information and how the information is used. Now, more and more information is kept in a non-paper format. When you examine the records kept by an office, you may find that information is kept in machine-readable format as well as hard copy. Employees are responsible for distinguishing between the record and the non-record copy.

The (non-record) examples listed below can be used to distinguish records from non-record items:

- Extra copies kept only for convenience.
- Informational copies of correspondence and other papers on which no documented administrative action is taken.
- Duplicate copies of documents maintained in the same file.
- Requests from the public for basic information such as manuals and forms that do not have any administrative retention requirements.
- Transmittal letters that do not add information to that contained in the transmitted material.
- Reproduced or published material received from other offices which requires no action and is not required for documentary purposes. The originating agency is required to maintain the record copy.
- Catalogs, trade journals, and other publications or papers received which require no action and are not part of a case upon which foreseeable action will be taken.
- Library or museum material collected for informational or exhibition purposes.
- Stocks of publications, forms, or other printed documents which become obsolete or outdated due to revision. The originating agency should maintain a record copy.
- Working papers, preliminary drafts, or other material summarized in final or other form and which have no value once action has been taken.

Record series --A group of similar or related records that are normally used and filed as a unit and can be evaluated as a unit for determining the record retention period. All of the records that make up a record series must have the same retention periods. You cannot break up a record series into individual records and give each record a different retention period.

Records Retention Schedule --A comprehensive list of record series which indicates for each series the length of time it is to be maintained until it is reviewed for destruction or archival retention. It also indicates retention in active and inactive storage areas.

[Records Management Manual: Statutes, Policies, and Procedures for Connecticut State Agencies. Hartford, CT: Connecticut State Library, 1999. Pages 3-4]

Disposition of State records

State records may only be disposed of after the approved retention period has expired and the completed Disposal request authorization [form](#) has been signed and returned to the responsible University office or department.

Retention of State records

The Public Records Administration of the Connecticut State Library is responsible for establishing the required minimum retention periods of state records. As a state agency, the University of Connecticut complies with the [Schedules for Connecticut State Agencies](#).

Storage, Transfer and Destruction of State records

University departments that must be retain state records for a set length of time, as determined by the Connecticut State Library, have several options available to them. Restrictions vary for each of the storage options listed, please read carefully and contact the appropriate offices before making any decisions.

Storage, Transfer and Destruction of State records

University departments that must retain state records for a set length of time, as determined by the Connecticut State Library, have several options available to them. Restrictions vary for each of the storage options listed, please read carefully and contact the appropriate offices before making any decisions.

- On site [within the office/department] storage
- Off site [on or off campus, with multiple levels of service] storage
- University Archives

On Site Storage

University offices and departments may choose to store non-current records within the department until the retention period has expired before requesting permission to dispose. Departments wishing to retain direct control of their records in this fashion are strongly recommended to actively participate in the University's Records Management Program to keep the space requirements for storage to a minimum. Contact [Betsy Pittman](#) for further information about the Records Management Program.

Off Site Storage

University offices/departments have two options for off site storage of non-current records. The University's [Central Stores](#) provides [storage services](#), for a fee, within the warehouse building. Please contact Central Stores for further information on services and fees. The University also has a contract with a vendor for off site storage and associated services. Please contact [Betsy Pittman](#) for further information on services and fees.

Shredding is available for Confidential records by Central Stores staff. Once destruction has been approved, requests are made with the submission of a [Shredding Service Request Form](#) to Central Stores.

University Archives

All University records identified designated as having significant value to the institution and having a retention period of "permanent" are eligible to be transferred to the University Archives. Documents with a retention period of less than "permanent" are not eligible for transfer to or storage in the Archives. Please contact [Betsy Pittman](#) (486-4507) with any questions.

Strategic Plan for Electronic Records

The University received a grant in to develop a [strategic plan](#) for its electronic records. Although only portions have been implemented, the plan is a significant planning tool and reference for the creation, use, storage and long term preservation of the University's electronic archival records.

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Thomas J. Dodd Research Center
405 Babbidge Road, Unit 1205
Storrs, Connecticut 06269-1205
860.486.4500 / 860.486.4521 (Fax)

3342-5-15 University policy regarding records retention.

- (A) The board of trustees hereby authorizes the development of a program for the administering of the records of Kent State University pursuant to Ohio Revised Code sections 149.33, 149.35, 149.43, and 149.351. The program created hereunder shall apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, responses to public records requests, and disposition of the records of the university.
- (B) The board hereby delegates the authority and responsibility for establishing the program and approving retention periods for records to the office of university counsel. The program established shall be consistent with the records retention for public colleges and universities in the Ohio manual developed by the inter-university council of Ohio, and the model public records policy created by the attorney general of the state of Ohio as they may be amended, or superseded by law.
- (C) Responsibility for adhering to the policies and procedures regarding records shall reside with the head of the respective unit where the records are maintained.

Effective: March 5, 2008

Prior Effective Dates: January 11, 1993; June 1, 2007

Records Management Program at MIT

Institute Archives and Special Collections

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Policies

- All records created at MIT are the property of the Institute and are administered according to policies adopted by the MIT Corporation and set forth in [MIT Policies and Procedures](#).
- Institute records include all forms of recorded information created or received by any of the MIT offices, departments, laboratories, and centers in the course of Institute business. The records provide evidence of the Institute's organization, legal obligations, functions, policies, decisions, procedures, operations, and other activities.
- No official Institute records may be destroyed or otherwise disposed of without the approval of the Records Management Program.
 - Some records, documenting the history and development of the Institute, are retained permanently in the Institute Archives.
 - Other materials have only temporary value and, once they are no longer in use (inactive), can be destroyed at the end of their retention period. The non-permanent records are stored at a facility run by Iron Mountain, an outside vendor.


The purpose of the Records Management Program is to promote economy and efficiency in the creation, organization, maintenance, retention, use, and disposition of the Institute's official records. The MIT Records Management Policy provides for the following:


- Orderly and timely periodic transfer of inactive Institute records from prime office storage space to the records storage center.
- Systematic destruction of noncurrent Institute records that have outlived their administrative usefulness.
- Identification of Institute records that are of sufficient and continuing administrative and historical value to warrant their transfer to and preservation in the Institute Archives.
- Assistance and advice to administrative and academic personnel about efficient record-keeping practices.

Full text of the MIT archival, records management, and records access policies in [MIT Policies and Procedures](#) (<http://web.mit.edu/policies/>):

- [Archival Policy](#)
- [Records Management Policy](#)
- [Records Access Policy](#)

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 Institute Archives and Special Collections
MIT Libraries
Massachusetts Institute of Technology
77 Massachusetts Avenue, Cambridge, MA 02139-4397 USA



Departments, Laboratories, and Centers: [How Long to Keep Financial Records](#)

MIT libraries

INSTITUTE ARCHIVES & SPECIAL COLLECTIONS

Institute Records Access Policy

The MIT Institute records access policy was voted by the MIT Corporation in May, 1980.

Rules of access to Institute records are governed by the MIT Corporation.

Institute archival records will normally remain closed for a maximum period of twenty years from the date of their creation (the date on which each document was written) unless the office of origin has designated a shorter period.⁽¹⁾ The only records that are closed for longer periods are:

1. Corporation and Executive Committee minutes - restricted for 50 years;
2. Student records - restricted for 75 years; and
3. Personnel records - restricted for 75 years.⁽²⁾

Other records may be restricted for more than 20 years with the permission of the Institute Records Committee.⁽³⁾

During the restricted period the records will be available only to the office of origin and the staff of the Institute Archives and Special Collections department. Consideration will be given for access by others when a written request is presented to the Institute Archivist and a written approval has been obtained from the appropriate officer in the office of origin or the appropriate Institute officer now responsible for the function performed by the office of origin.

The records of the Institute will be made available in accordance with the rules and regulations of the Institute Archives and Special Collections department of the MIT Libraries.

This policy will not impinge upon the normal administrative uses of Institute records.

Notes:

(1) The opening date for files spanning several years will be 20 years from the most recent date. Access will be given to material already 20 years old contained within a collection that is not yet open when such material can be isolated from the rest of the collection.

(2) Access by name to individual student and personnel records (e.g., for biographical studies) will be denied for 75 years from the date the record was created. Access for aggregate studies (anonymous studies of groups) will be considered in accordance with this policy and the rules and regulations of the Institute Archives and Special Collections department.

(3) The Institute Records Committee, as defined in the Institute Archival Policy, consists of:

- a) the President's designee, representing the Corporation and the Administration;
- b) the Institute Archivist, representing the Director of the MIT Libraries; and
- c) the Dean of the appropriate School in the case of academic departments, the Provost in the case of interdepartmental laboratories or other interdepartmental entities, or the cognizant senior officer in the case of administrative or other general Institute and alumni offices.

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mithistory@mit.edu
Massachusetts Institute of Technology
77 Massachusetts Avenue, Cambridge, MA 02139-4307 USA



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Records Management (RM) Policies

Designation of Agency Records Officer

[Oregon Administrative Rule \(OAR\) 166-30-0016](#) mandates that each state agency designate a Records Officer. The Electronic Records Archivist fulfills this function for non-permanent records. In turn, each university department and office has been mandated to designate a records management officer (RMO) who shall be responsible for the oversight of all records transactions, ensure an organized records flow, and provide for the appropriate retention and disposition of all public records within the office.

Timely disposal of public records

As part of an effective records management program, state agencies are legally obligated to promptly dispose of state records without continuing value ([OAR 166-05-0000](#)). Lawful authorization to dispose of public records is obtained through the OUS Records Retention Schedule maintained by the University Archives ([OAR 166-475](#)). Retaining records longer than the retention period causes unnecessary legal and fiscal liabilities.

Destruction of confidential records

Under Oregon state law, the University must safely destroy confidential records ([OAR 166-30-0060\(2\)](#)). [More >>](#)

Unauthorized destruction and tampering of records

Per [ORS 192.305](#), unauthorized destruction of a public record is a Class A misdemeanor.

Management of essential records

Per [OAR 166-020-0045](#), all state entities shall,

Identify their essential records, regardless of medium or physical format.

Store security copies of essential electronic records systems off the premises where the system is used, along with any system documentation necessary to enable recovery of the system in the event of an emergency.

Comply with the following storage requirements for security copies of essential electronic records systems:

- Off-site storage conditions shall have temperatures no less than 60 degrees or greater than 80 degrees Fahrenheit, and shall have a relative humidity no greater than 50 percent.
- Off-site storage shall be in fire-resistant structures, with adequate ventilation and protection against insect and mold infestation. No essential records systems shall be stored where heat or moisture can damage them.

Electronics records and imaged records retention and documentation policy

Per [OAR 166-017-0020](#), records with a retention period of 10 years or more that are stored in electronic form, a migration plan shall be established and on file with the Electronic Records Archivist. The migration plan should include:

- System documentation
- Description of all document types created and/or managed in the system
- Migration schedule
- File naming schema identified
- Recovery strategy in case of information loss.

Maintained by: Erin O'Meara, erino@uoregon.edu

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The UNIVERSITY of WESTERN ONTARIO
POLICIES and PROCEDURES

1.30 UNIVERSITY RECORDS AND ARCHIVES POLICY

Classification: General Effective Date: 22NOV01 Supersedes: (NEW)

GENERAL

- 1.00 The University of Western Ontario is committed to the efficient and effective management of its records and the preservation of its institutional memory through the establishment of a University Archives.
- 2.00 For the purposes of this policy, the term "record" means any information, however recorded, whether in manuscript, printed, mechanical or electronic form, and any copy thereof, but does not include a computer program or any other mechanism that produces records.

POLICY

Mandate

- 3.00 The University will establish a University Archives with the following mandate:
 - (a) to provide comprehensive records management services to the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University; and
 - (b) to identify, acquire, arrange, describe, preserve, promote the use of, and make available those University records and related archival materials from other sources which are of enduring historical, legal, fiscal and administrative value.
- 4.00 All records created, received, used or maintained by officers and employees in the course of their duties on behalf of the University are the property of the University. Officers or employees leaving their positions with the University shall leave all records for their successors. This applies to both temporary and permanent departures, including transfers within the University.
- 5.00 Notwithstanding section 4.00, the provisions of this policy do not apply to the records that are created or acquired by faculty members or other officers or employees pursuant to their individual responsibilities for teaching or research, unless the records are donated to the University Archives.
- 6.00 The University Archives is the designated repository for all permanently valuable records of the University that contain information about its history, organization, structure and functions.

Goals

- 7.00 The goals of the University Archives are:
 - (a) to assist with and promote the efficient and effective management of all records created, received, used and maintained throughout the University;
 - (b) to preserve the University's institutional memory by identifying, acquiring, preserving and protecting its permanently valuable records;
 - (c) to assist with and promote compliance with the University Guidelines on Access to Information and Protection of Privacy and any statutory requirements relating to the collection, use, disclosure, retention and disposal of University records;

- (d) to acquire and preserve records of affiliated institutions and campus organizations, personal papers of individuals, and collections of material from other sources that document the life of the University community;
- (e) to provide adequate facilities and services for the storage and retrieval of semi-active records and the storage, preservation and use of archival records;
- (f) to provide the information necessary to support current and future decision-making and to permit the University to meet institutional accountability requirements;
- (g) to promote an understanding of the history, organization, structure, programs and functions of the University; and
- (h) to encourage teaching and support research using archival records.

President's Advisory Committee on University Records and Archives

8.00 The University will establish a President's Advisory Committee on University Records and Archives (PACURA) with the following composition:

- (a) Provost & Vice-President (Academic) (or designate)
- (b) Vice-President (Resources & Operations) (or designate)
- (c) Vice-President (Research & International Relations) (or designate)
- (d) Vice-President (External) (or designate)
- (e) Vice-Provost (Academic Programs & Students) [Registrar] (or designate)
- (f) University Librarian
- (g) Secretary of the University (or designate)
- (h) President, Alumni Association (or designate)
- (i) Internal Auditor
- (j) University Archivist
- (k) Two members appointed by the President

9.00 The Chair will be elected annually from among the members of the Committee and can hold that position for three consecutive one-year terms. The University Archivist will act as Executive Secretary to the Committee.

10.00 The terms of reference of the President's Advisory Committee on University Records and Archives are:

- (a) to advise the President on the policies, activities and initiatives of the University Archives;
- (b) to review and approve records management and archives operating policies developed to support implementation of specific components of the University Records and Archives Policy;
- (c) to review and provide direction to the University Archivist on proposed program initiatives, the deaccessioning of existing archival holdings, or the potential acquisition of non-University materials that are of significant extent or value;
- (d) to act as a liaison between the University Archives and those officers and employees of their respective academic or administrative units who are interested in or whose work is affected by the programs of the University Archives; and
- (e) to support the University Archives in ensuring the preservation and use of the University's permanently valuable records.

11.00 The Committee is not responsible for overseeing the day-to-day administration or operation of the University Archives or for developing or implementing records management or archives procedures or practices.

12.00 The Committee must meet at least twice per calendar year, with meetings held at the call of the Chair.

- 13.00 The Committee must submit an annual report to the President outlining the activities of the University Archives over the past year.

Records Management Services

- 14.00 The University will, in the course of normal business, create and maintain adequate, reliable and usable records in order to protect and preserve its interests and support legal, fiscal, administrative and operational requirements. The effective management of these records and the maintenance of their associated records-keeping systems will be supported by records management policies, procedures and practices that should be integrated into the normal course of business.
- 15.00 The University Archives will provide the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University with specific records management services, procedures and practices that include classification systems to improve control and retrieval, semi-active records storage to reduce office storage requirements while ensuring records are available as long as required, vital records identification and protection, alternative media conversion and storage, electronic records management, and records retention and disposal schedules.
- 16.00 The University Archives will assist officers and employees in managing their records efficiently and effectively by providing a comprehensive advisory and training service.

Acquiring Archival Materials

- 17.00 The University Archives will acquire University records which document the University's history, organization, structure, programs and functions. To augment the information in these records, the University Archives may also acquire the records of affiliated institutions and campus organizations, the personal papers of individuals, and collections of material from other sources that document the life of the University community.
- 18.00 The University Archives will acquire records in all media formats, regardless of physical form or characteristics. However, this does not include the regular acquisition of artefacts or similar museum materials; these will only be acquired selectively if they relate directly to, and support the understanding, use and/or display of, a specific archival document.
- 19.00 The scope of acquisition is limited to the following categories of records:
- (a) Records of the University: Records created, received, used and maintained by the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University that are of enduring historical, legal, fiscal and administrative value, particularly those that document the functions, policies and decisions of the University;
 - (b) Records of Affiliated Institutions: Records of those affiliated institutions, such as colleges, hospitals, or research institutes, that wish to enter into mutually acceptable internal transfer agreement, that document their relationship to the University;
 - (c) Records of Campus Organizations: Records of faculty, student or alumni clubs, groups, societies and other associations that document the life of the University community;
 - (d) Papers of Individuals: Papers of faculty, staff or other individuals associated with the University that document the life of the University community; and
 - (e) Collections: Archival materials collected by individuals or organizations that document the history of the University or the life of the University community.
- 20.00 With the exception of University records, which are the sole purview of the University Archives, the acquisition of other archival materials will be carried out in cooperation with, and in consideration of the mandates of, other formally constituted archives. Items offered to the University Archives that appear to be more appropriately acquired by another archives will be referred to that institution for review.

21.00 The University Archives will acquire records by the following means:

- (a) Internal Transfer: Transfers of official records will be received from the Board of Governors and Senate, Faculty councils, academic and administrative units, and committees of the University through the application of approved Records Retention and Disposal Schedules or, for non-scheduled records, by direct transfer from the creating unit. Where an agreement with an affiliated institution has been implemented, the records of that institution will also be acquired by this means.
- (b) Donation: Donations of the records of campus organizations, personal papers, or collections will be accepted in accordance with terms negotiated by the owner and the University Archivist and documented in a formal donation agreement. All materials donated to the University Archives become the property of University.
- (c) Loan: Short term loans of records of campus organizations, personal papers or collections will be accepted only for the purpose of making copies for reference purposes, where it has proven impossible to negotiate formal donation, or preparing and mounting a public display of archival materials. The original material loaned for copying will not be accessioned and will be returned to the owner as soon as the copying is completed and verified. Long term loans that do not involve the formal transfer of ownership will not be accepted.
- (d) Purchase: Purchase of records which have been alienated from the University, records of affiliated institutions or campus organizations, personal papers or collections will be made only if it proves impossible to acquire the material by any other means and the items may otherwise be lost. Purchases may include direct sales or bids at auctions. All purchases are subject to the availability of funds and/or prior budget approval.

22.00 If requested by a donor, an appraisal of the fair market value of the donated material that is being kept by the University Archives may be determined. The appraisal will not be carried out until after the material has been formally acquired by the University. This process will be conducted in accordance with the regulations of the Canada Customs and Revenue Agency, Canadian Cultural Property Export Review Board, National Archival Appraisal Board, and established University practices.

23.00 At the discretion of the University Archivist, acquisition of materials other than University records may be carried out actively (identifying potential sources and soliciting donations) or passively (responding only to offers to donate). If a potential acquisition involves material of significant extent or value, details of the proposal and its implications will be submitted to the President's Advisory Committee on University Records & Archives for review and direction.

24.00 In special circumstances, the University Archives may consider acquiring materials that are outside the normal scope of acquisition activity in order to support research in a particular field. However, all such potential acquisitions must be submitted to the President's Advisory Committee on University Records & Archives for approval or referral, as appropriate, on a case-by-case basis.

Deaccessioning Archival Materials

25.00 Archival material in the possession of the University Archives may be permanently removed from its holdings through the process of deaccessioning if it is determined that it is no longer appropriate for the material to be retained.

26.00 All proposals to deaccession archival material must be submitted to the President's Advisory Committee on University Records & Archives for approval or referral, as appropriate.

27.00 Information about deaccessioned material will be kept by the University Archives and made available upon request.

Loans and Returns

28.00 Original materials in the University Archives do not circulate. If the temporary loan or return of material is requested, copies will normally be substituted for the originals.

- 29.00 At the discretion of the University Archivist, original materials may be loaned or returned to the originating office or donor for a specified period of time. Permanent loans or open ended returns are not permitted. Original material that has been loaned to the University Archives for copying or display purposes cannot be loaned to a third party without the express permission of the owner.

Access to Archival Materials

- 30.00 Unless otherwise specified below, the holdings of the University Archives are available for research and reference use by staff, faculty, students, alumni, researchers and the public.

- 31.00 University records transferred from their originating office to semi-active storage as part of the records management service have not been accessioned by the University Archives and do not form part of its archival holdings. These records remain the property of the originating office. All access requests received from anyone other than designated staff of the originating office will be referred to the unit head.

- 32.00 Restrictions on access to the holdings of the University Archives will be limited and specific and apply as follows:

- (a) Records of the University: Access is open to all authorized staff from the originating office. For all other users, both internal and external, access is determined by the unit head of the originating office in accordance with the University Guidelines on Access to Information and Protection of Privacy, any applicable federal and provincial legislation, and any other relevant internal agreements and documents.
- (b) Records of Affiliated Institutions: Access is subject to any restrictions agreed to by the University Archivist during negotiations with the originating institution.
- (c) Records of Campus Organizations: Access is subject to any restrictions agreed to by the University Archivist during negotiations with the creator and/or donor of the records.
- (d) Papers of Individuals: Access is subject to any restrictions agreed to by the University Archivist during negotiations with the creator and/or donor of the papers.
- (e) Collections: Access is subject to any restrictions agreed to by the University Archivist during negotiations with the creator and/or donor of the collection.
- (f) Unprocessed Material: Access to any unprocessed official University records, records of affiliated institutions or campus organizations, personal papers or collections may be restricted at the discretion of the University Archivist, pending a review to ensure that no personal or other confidential information is contained in the documents and to ensure that access is otherwise permitted in accordance with (a) to (e) above.
- (g) Fragile, Valuable or Rare Material: Access to originals may be restricted at the discretion of the University Archivist in order to protect them from damage or loss, in which case copies will be substituted for reference purposes.

- 33.00 Details of all access restrictions will be described in the appropriate archives finding aids.