

**APPROVAL AUTHORITY**

These guidelines were prepared by the Office of the Provost and Vice-President (Academic) and approved by the Academic and Research Committee on February 20, 2013 and are updated as required.

**PURPOSE**

1. The purpose of these guidelines is to provide general information for Deans and the University Librarian, Chairs, Directors, Executive Assistants, and Departmental Administrators on the proper retention and disposal of records related to faculty personnel files, including, but not limited to: initial appointment, reappointment, tenure, promotions, leaves of absence, and annual performance reviews. It may also include letters of commendation and/or complaint, routine information on salary and benefits, etc.
2. ***Should there be any discrepancy between these guidelines and the approved policies and/or Collective Agreement, the approved policies and Collective Agreement shall be considered the final authority.***

**RELEVANT POLICIES**

3. These guidelines must be used in conjunction with all relevant Carleton University policies and procedures, as well as regulations stipulated by the Collective Agreement. These guidelines are also formulated in conjunction with the *Freedom of Information and Protection of Privacy Act*, and recommendations posted by the Office of the Information and Privacy Commissioner.
4. [Corporate Records and Archives Policy](#) (2009), University Secretariat
5. [Transferring Records to the Archives Guidelines](#), University Secretariat
6. [Access to Information and Protection of Privacy Policy](#) (2007), University Secretariat
7. [Information Security Policy](#) (2009), University Secretariat
8. Article 16: Confidentiality and Access to Personnel Files, [Collective Agreement between Carleton University and CUASA](#)
9. [Human Rights Considerations for the Primary Search File](#), Department of Equity Services
10. Section 5 (1), 21 (1-4), 41 and 42 (1): [Freedom of Information and Protection of Privacy Act](#)
11. Canada Research Chair Secretariat

**FIPPA**

12. The Information and Privacy Commissioner of Ontario states: "Fair information practices suggest that personal information should only be retained for as long as necessary for the fulfillment of the purposes for which it is collected, but when information is used to make a decision about someone, it should be retained long enough for the individual to be able to access it, and appeal any denial of access. When personal information is no longer needed to fulfill those identified purposes, it should be destroyed, erased or anonymized according to established guidelines."
13. "The *Freedom of Information and Protection of Privacy Act*, states the following: Regulation 460 Section 5 (1) Personal information that has been used by an institution shall be retained by the institution for at least one year after use unless the individual to whom the information relates consents to its earlier disposal. R.R.O. 1990, Reg. 460, s. 5 (1).

**DEFINITIONS**

14. **Personnel File:** designates all files containing evaluative materials concerning employees.
15. **Record:** recorded information in any form and in all media and formats, including electronic.
16. **Office of Record:** the office with the main responsibility for the records; which is accountable for ensuring that those records are properly identified and for adhering to the retention and disposal schedules.
17. **Career Decisions** are decisions relating to hiring, renewal, tenure, promotion, and the most recent CV.

### FACULTY PERSONNEL FILE

18. Parts of the personnel file are kept by the academic unit, Dean’s office, Provost’s office, and Human Resources. For the purposes of career decisions, including appointment, reappointment, leaves, tenure, promotion, and appeals, the file held by the Provost and Vice-President (Academic) will be considered the final authority.
19. In accordance with Article 16 of the Collective Agreement with CUASA, employees have the right to examine all of his/her personnel file during regular business hours, provided that any confidential letters of recommendation solicited shall be held confidential, except as provided for in Article 16.
20. The disclosure of personal information is governed by Sections 21 (1-4) or 41 and 42 (1) of the *Freedom of Information and Protection of Privacy Act*. As a general guideline, any information on a business card (name, title/rank) can be released. For other information requested, please check with the FIPPA officer.
21. As much as possible, additional documents related to a faculty member that are not part of the official personnel file, such as emails and background notes, should be kept in a separate “working file” and destroyed three months following the end of the faculty member’s employment.
22. Upon the termination of a faculty member’s employment, it is proposed that the faculty member’s personnel files kept by the academic unit, the Dean/University Librarian’s office, and the Office of the Provost and Vice-President (Academic) be consolidated into one file and kept permanently in the Office of the Provost and Vice-President (Academic).
23. In accordance with the Information Security Policy, the information user (office of record) must render unusable any electronic information scheduled for destruction. In accordance with the Corporate Records and Archives Policy, the ultimate responsibility for the retention and disposition of corporate records (including electronic documents) rests with the University Secretariat. Questions related to the proper disposal of electronic records should be directed to the University Secretary.

<b>Faculty Personnel File Documents</b>		
<b>Item</b>	<b>Retention Schedule</b>	<b>Disposal</b>
Job description	Permanent	N/A
Position advertisement	Permanent	N/A
Supporting documentation for application from the employee (including CV, excluding letters of reference); Supporting documentation for the application from the University (including Recruitment and Appointment forms)	Permanent (only the most recent CV should be kept on file and previous copies destroyed)	N/A
Letters of reference and appraisal in relation to appointment (Article 16.7). For Letters of Reference in relation to promotion, see Appendix B	3 Months after the process concludes	Dispose
Curriculum Vitae	Permanent (most recent)	Dispose of previous versions
Letters/documentation related to appointment, renewal, non-renewal, resignation and/or retirement*	Permanent	N/A
Letters/documentation related to compensation (salary increases, CDIs, awards, etc.)*	Permanent	N/A
Letters/documentation supporting promotion and tenure decisions (excluding candidate dossiers for tenure and promotion)*	Permanent	N/A

Letters/documentation related to leaves (including forms, sabbatical plans, reports)*	Permanent	N/A
Correspondence to/from the faculty member	Permanent	N/A
Additional correspondence, such as letters of congratulation, thank you, etc.	Permanent	N/A
Disciplinary material	3 years	Dispose
<b>NOTE:</b> Additional documents (email and background notes) – please see Item 17 (above)		

\*See attached list of letters signed in accordance with the Collective Agreement with CUASA

### CONTACT

Should you have any questions, please contact Faculty Affairs at [faculty.affairs@carleton.ca](mailto:faculty.affairs@carleton.ca).

***Should there be any discrepancy between these guidelines and the approved policies and/or Collective Agreement, the approved policies and Collective Agreement shall be considered the final authority.***

### PURPOSE

1. The purpose of these guidelines is to provide general information for Deans and the University Librarian, Chairs and Directors, Executive Assistants, and Departmental Administrators on the proper retention and disposal of records related to academic search and review committees, including, but not limited to: job descriptions; position advertisements; applications; letters of reference and other supporting documentation; committee minutes; interview questions; and internal and external comments on candidates.

### ADDITIONAL RELEVANT POLICIES

2. Human Rights Considerations for the Primary Search File, Department of Equity Services (Appendix A)

### PRIMARY SEARCH FILE & PERSONNEL FILE

3. These guidelines distinguish between two types of documents: those to be retained confidentially in the primary search file and the successful candidate's personnel file; and those to be destroyed following the conclusion of the search/review process.
  - a. The following will be included in the primary search/review file: job description and position advertisement; CV and other supporting documents; appraisal criteria for selections; standard interview questions; committee minutes; final notes and/or reports; and substantive correspondence, including telephone messages and emails.
  - b. The following will be included in the successful candidate's personnel file: job description and position advertisement; CV and other supporting documents; and the names of referees.
  - c. Letters of reference will be destroyed within three months of the conclusion of the search/review process. The following will be destroyed after 2 years of the conclusion of the search/review process: All transitory records of the committee including: telephone messages that do not have substantive content, notices of meetings or draft letters and/or reports; and internal/external comments and committee members' notes.
4. In accordance with the Information Security Policy, the information user (office of record) must render unusable any electronic information scheduled for destruction. In accordance with the Corporate Records and Archives Policy, the ultimate responsibility for the retention and disposition of corporate records (including electronic documents) rests with the University Secretariat. Questions related to the proper disposal of electronic records should be directed to the University Secretary.

#### Faculty Personnel File Documents

Item	Retention Schedule	Disposal
Job description	Permanent	N/A
Position Advertisement	Permanent	N/A
Applications	7 years	Disposal
Supporting Documentation (including CVs; excluding letters of reference)	For non-successful applicants: 7 years	Disposal
	For successful candidate: permanent	N/A
Letters of Reference (Article 16)	3 Months following interviews	Disposal
Minutes	7 years	Disposal
Committee Member Notes	7 years following interviews	Disposal
List of Interview Questions	7 years	Disposal
Notes on Interview Questions Responses	7 years following interviews	Disposal
Internal/External Comments	7 years following interviews	Disposal

Note: The files in the primary search/review file may be kept confidentially longer than the retention schedule if the appointment process becomes the subject of a complaint. A Human Rights complaint may be lodged up to 1 year after the hiring process. CRC required files to be kept for 7 years. IRCC may request an audit up to 7 years after an appointment is made.

### PURPOSE

- The purpose of these guidelines is to clarify the retention and disposal of promotions documents.

### ADDITIONAL RELEVANT POLICIES

- Article 10: Promotions, [Collective Agreement between Carleton University and CUASA](#)

### CANDIDATE DOSSIERS

- All candidate dossiers should be retained intact for three months following the completion of the promotions process (16.7).**
- Three months after the conclusion of the promotions process, as the office of record, individual candidate dossiers will be retained by the Office of the Provost and Vice-President (Academic) according to the following guidelines

Promotion Candidate Dossier Documents		
Item	Retention Schedule (If Candidate is Recommended)	Retention Schedule (If Candidate is Not Recommended)
Covering letter (i.e. letter of application)	Dispose	<ol style="list-style-type: none"> <li><u>If no appeal is filed</u>, retain documents for one year, then dispose.</li> <li><u>If an appeal is filed</u>, retain documents until the Promotion Appeals Committee's (PAC) decision letter is issued to the candidate, then dispose.</li> <li><b>NOTE:</b> Letter of reference and appraisal must be kept for future consideration if requested by candidate (16.8(b))</li> </ol>
Curriculum Vitae	Permanent (most recent), in candidate's faculty file	
Recent publications	Dispose	
Student comments (optional)	Dispose	
Referees' names	Dispose	
Supplemental material	Dispose	
Evaluations	Dispose	
Letters of reference and appraisal	Dispose, unless otherwise requested by candidate (16.8(b))	

### OFFICE OF RECORD – UNIVERSITY PROMOTIONS FILE

- As the office of record, the Office of the Provost and Vice-President (Academic) will retain one general university promotions file. These materials are retained according to the following guidelines:

University Promotions Committee File Documents	
Item	Retention Schedule
Provost's Memorandum regarding results of University Promotions Committee recommendations	Permanent
Deans' Memoranda regarding the Faculty Promotions Committee recommendations	Permanent
Chairs' Memoranda Regarding the Departmental Promotions Committee recommendations	Permanent
Administrative notes (i.e. notes to file)	Permanent
Ballots and Tallies	<ol style="list-style-type: none"> <li><u>If no appeal is filed</u>, retain documents for one year, then dispose.</li> <li><u>If an appeal is filed</u>, retain documents until the PAC's decision letter is issued to the candidate, then dispose.</li> </ol>
Committee member acknowledgment and confidentiality statement	3 months after the process concludes, then dispose

### OFFICE OF RECORD – PROMOTION APPEALS COMMITTEE FILE

6. As the office of record, the Office of the Provost and Vice-President (Academic) will retain one university promotion appeals committee file in addition to individual candidate dossiers for every appellant.
7. For each candidate who files a promotions appeal, the original candidate dossier should be retained intact for one year following the date that the Promotion Appeals Committee's (PAC) decision letter is issued to the candidate.
8. One year after the conclusion of the promotions appeal process, as the office of record, promotions materials will be retained by the Office of the Provost and Vice-President (Academic) according to the following guidelines:

<b>Promotion Appeal Committee Documents</b>	
<b>Item</b>	<b>Retention Schedule</b>
<b>Candidate's original dossier</b> (excluding letters of reference and appraisal)	Dispose <b>NOTE:</b> The candidate's most recent CV is filed in their faculty file
Letters of reference and Appraisal	Dispose <b>NOTE:</b> Letter of reference and appraisal must be kept for future consideration if requested by candidate (16.8(b))
New supporting documentation from the candidate	Dispose
Promotion decision letter from University	Permanent, in candidate's faculty file
Deans' Memoranda regarding the Faculty Promotions Committee recommendations (copy)	Dispose
Chairs' Memoranda regarding the Departmental Promotions Committee recommendations (copy)	Dispose
Appeal letter from the candidate	Dispose
Response from the employer (as requested by PAC)	Dispose
PAC deliberation materials	Dispose
PAC correspondence	Permanent
Committee member acknowledgment and confidentiality statement	Dispose

***Should there be any discrepancy between these guidelines and the approved policies and/or Collective Agreement, the approved policies and Collective Agreement shall be considered the final authority.***

### PURPOSE

- The purpose of these guidelines is to clarify the retention and disposal of tenure/confirmation documents.

### ADDITIONAL RELEVANT POLICIES

- APPENDIX A: Procedures Concerning Tenure, Dismissal and Related Matters (1972), [Collective Agreement between Carleton University and CUASA](#)
- Article 11: Professional Librarian Employees, [Collective Agreement between Carleton University and CUASA](#)
- Article 12: Instructor Employees, [Collective Agreement between Carleton University and CUASA](#)

### CANDIDATE DOSSIERS

- All candidate dossiers should be retained intact for three months following the completion of the tenure/confirmation process (16.7).
- Three months after the conclusion of the tenure process, as the office of record, individual candidate dossiers will be retained by the Office of the Provost and Vice-President (Academic) according to the following guidelines:

Tenure/Confirmation Candidate Dossier Documents		
Item	Retention Schedule (If Candidate is Recommended)	Retention Schedule (If Candidate is Not Recommended)
Application	Dispose	<ol style="list-style-type: none"> <li><b>If no appeal</b>, retain for one year, then dispose.</li> <li><b>If there is an appeal</b>, retain documents until the STAC decision letter has been issued to the candidate, then dispose.</li> </ol>
Curriculum Vitae	Permanent (most recent), in candidate's faculty file.	
Supporting documents: recent publications, Student comments, Referees' names, Service history, Teaching evaluations.	Dispose	

### OFFICE OF RECORD - UNIVERSITY TENURE/CONFIRMATION FILE

- As the office of record, the Office of the Provost and Vice-President (Academic) will retain one general tenure/confirmation file, including:

University tenure/Confirmation File Documents	
Item	Retention Schedule
Faculty recommendation	Permanent
Departmental recommendation	Permanent
Administrative notes (i.e. notes to file)	Permanent

### TENURE AND PROMOTION APPEALS COMMITTEE

- All materials from the Tenure and Promotion Appeals Committee are the responsibility of Office of the Provost. A copy of the President's letter is retained in the candidate's faculty file permanently.

***Should there be any discrepancy between these guidelines and the approved policies and/or Collective Agreement, the approved policies and Collective Agreement shall be considered the final authority.***

### PURPOSE

1. The purpose of these guidelines is to clarify the retention and disposal of Professional Achievement Awards (PAA), Teaching Achievement Awards (TAA), Professional Librarian Achievement Awards (PLAA), and Contract Instructor Teaching Awards (CITA) documents.

### ADDITIONAL RELEVANT POLICIES

2. Article 42: Achievement Awards, [Collective Agreement between Carleton University and CUASA](#)
3. Article 28: Contract Instructor Teaching Award, [Collective Agreement between Carleton University and CUPE 4600, Unit 2](#).

### OFFICE OF RECORD - UNIVERSITY PAA/TAA/PLAA/CITA FILE

4. All achievement awards nominations should be retained intact for three months following the completion of the awards process (16.7).
5. Three months after the conclusion of the awards process, the retention and disposal of Achievement Award materials should adhere to the following guideline:

University Achievement Awards File Documents	
Item	Retention Schedule
Nomination (including the candidate's CV, application form, and other supporting documents)	For successful applicants, permanent. For unsuccessful applications, dispose <b>NOTE:</b> The candidate's most recent CV is filed in their faculty file
(For PLAA) List of recommendations/nominees from the Peer Evaluation Committee to the University Librarian	Return file to University Librarian
Provost's Memorandum regarding results of University Promotions Committee recommendations	Permanent
Deans' Memoranda regarding the Faculty Awards Committee recommendations	Permanent
Administrative notes (i.e. notes to file)	Permanent
Letters from OPVAC to successful/unsuccessful nominees	Permanent, in nominees' faculty files
Additional committee meeting materials: notes, tallies, and ballots	Dispose
Indication by award winner of how they would like to receive their financial award	Dispose

***Should there be any discrepancy between these guidelines and the approved policies and/or Collective Agreement, the approved policies and Collective Agreement shall be considered the final authority.***