

CARLETON UNIVERSITY RECORDS RETENTION SCHEDULE

VERSION 4.0

UPDATED APRIL 30, 2019

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CONTENTS

Administration	3
ADM-00 - Claims and Litigation	4
ADM-01 - Contracts and Agreements	5
ADM-02 - Departmental Administration	6
ADM-03 - Executive Files and Correspondence	7
ADM-04 - Laws and Regulations	8
ADM-05 - Leases	9
ADM-06 - Legal Opinions	10
ADM-07 - Planning	11
ADM-08 - Policies and Procedures	12
ADM-09 - Project and Program Management	13
ADM-10 - Intellectual Property	14
Campus Operations	15
CAM-00 - Incident Reports	16
CAM-01 - Accommodations, Residences, and Housing	17
CAM-02 - Athletics Teams and Registrations	18
CAM-03 - Conference Planning and Management	19
CAM-04 - Events Management	20
CAM-05 - Food and Beverage Services	21
CAM-06 - Liquor Licenses	22

CAM-07 - Mail and Delivery	23
CAM-08 - Medical Billing	24
CAM-09 - Patient Health Records	25
CAM-10 - Physician and Nursing Records	26
External Relations	27
EXT-00 - Advancement Campaigns	28
EXT-01 - Donors	29
EXT-02 - Alumni	30
EXT-03 - Memorabilia	31
EXT-04 - Academic Calendar	32
EXT-05 - Communications	33
EXT-06 - Agencies, Government and Media Relations	34
Facilities and Properties	35
FAC-00 - Architectural Drawings and Specifications	36
FAC-01 - Building Permits	37
FAC-02 - Asset Control and Inventories	38
FAC-03 - Maintenance	39
FAC-04 - Parking Administration	40
FAC-05 - Room Bookings	41
FAC-06 - Utilities	42
Financial Management	43
FIN-00 - Accounts Payable	44
FIN-01 - Accounts Receivable	45
FIN-02 - Audit Reports	46

FIN-03 - Banking	47
FIN-04 - Budgets (University-wide)	48
FIN-05 - Financial Reporting and Statements	49
FIN-06 - Procurement	50
Governance	51
GOV-00 - University Governance	52
GOV-01 - Board Meetings	53
GOV-02 - Board Committees	54
GOV-03 - Senate	55
GOV-04 - Senior Executive Search Committees	56
GOV-05 - Senate Committees	57
Human Resources	58
HUM-00 - Job Descriptions	59
HUM-01 - Annual Increases Process	60
HUM-02 - Position Activities	61
HUM-03 - Gender Dominance Binders	62
HUM-04 - Salary Review	63
HUM-05 - Pension	64
HUM-06 - Discipline and Termination	65
HUM-07 - Issues/Complaints, Grievances and Arbitration	66
HUM-08 - Labour Relations - Professional Services/Faculty	67
HUM-09 - Staffing - Competitions and Recruitment	68
HUM-10 - Staffing - Promotion/Tenure	69
HUM-11 - Employees - Individual	70

HUM-12 - Leave Management	71
HUM-13 - Payroll	72
Information Management and Technology	73
INF-00 - Access and Privacy	74
INF-01 - Archives	75
INF-02 - Copy and Printing	76
INF-03 - Hardware	77
INF-04 - Information Governance	78
INF-05 - Library Collections Management	79
INF-06 - Records and Information	80
INF-07 - Enterprise Applications	81
INF-08 - Telecommunications and Networks	82
Research	83
RES-00 - Partnerships and Collaboration	84
RES-01 - Research Applications and Proposals	85
RES-02 - Research Information	86
RES-03 - Research Contracts and Agreements	87
RES-04 - Research Ethics Board Management	88
RES-05 - Undergraduate and Course Related Ethics Case Files	89
RES-06 - Graduate, Post-Graduate, Doctoral Fellows, Faculty and Staff Research Ethics Case Files	90
RES-07 - Awards and Prizes to Researchers	91
Students	92
STU-00 - Academic Records	93
STU-01 - Student Applicants	94

STU-02 - Discipline	95
STU-03 - Financial Assistance (Students)	96
STU-04 - Internships	97
STU-05 - Recruitment (of students)	98
STU-06 - Accomodations (Access/Disabilities)	99
STU-07 - Advising (of students)	100
STU-08 - Employment and Careers (Students)	101
STU-09 - Exchange Students	102
STU-10 - International Students	103
STU-11 - Diversity and Inclusion	104
STU-12 - Orientation (of students)	105
STU-13 - Student Groups	106
STU-14 - Communications (with students)	107
STU-15 - Faculty Student Files	108
Teaching	109
TEA-00 - Accreditation	110
TEA-01 - Courses and Curriculum	111
TEA-02 - Student Assignments and Examinations	112
TEA-03 - Program Review	113
TEA-04 - Scheduling and Enrolment	114
TEA-05 - Pedagogy	115
Appendix A: Retention and Disposal of Faculty Personnel Records	118

Section 1:

Administration

ADM-00	CLAIMS & LITIGATION	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records related to legal proceedings and investigations dealt with or submitted to a court of law, administrative tribunal or regulatory agency for or against the institution. Records may include legal correspondence and pleadings, statements, demands, directions, subpoenas and notices to appear, order, transcripts, settlements, discharges, rulings and related correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat / General Counsel
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# OF YEARS ACTIVE:	T
TRIGGER:	Completion
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on current operational use.
FILING NOTES:	Involved units should contact the General Counsel before disposing of any records.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-01	CONTRACTS AND AGREEMENTS	ADMINISTRATION	CURS 2019-04
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DESCRIPTION:

Consists of signed contracts or agreements with either (i) a total value that is greater than \$100,000, (ii) the total value is less than \$100,001 but the initial term is five years or greater or (iii) potentially expose the University to Significant Risk. Records consist of construction contracts, purchase contracts, employment contracts, and gift agreements. May also include documents confirming insurance coverage.

For contracts and agreements related to Research, see RES-07. For proposals related to Research, see RES-01.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	T
TRIGGER:	Completion
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on current operational use.
	Carleton University Signing Authorities Policy (November 2018)
FILING NOTES:	Per the Signing Authorities Policy, units must deposit signed contracts and agreements with the University Secretary upon signing. Units that are responsible for contract(s) generally should retain copies of contract(s) until superseded or until 1 year after contract has expired or action completed.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-02	DEPARTMENTAL ADMINISTRATION	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records related to the day-to-day administration of university departments and units. These records include office visit logs, general correspondence, checklists, mailing lists and documentation concerning meetings.

OFFICE OF PRIMARY RESPONSIBILITY:	Individual units
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-03	EXECUTIVE FILES AND CORRESPONDENCE	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records created by any and all executive personnel of the university. These records include those originating from the Office of the President, Vice-Presidents' offices, Dean's offices and executives in academic departments/units and administrative departments/units. These records may include letters, directives, correspondence and critical decision-making documentation.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of applicable officer.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-04	LAWS AND REGULATIONS	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records pertaining to any and all laws and regulations that govern the university. These records related to provincial/federal governmental legislation, regulations and laws.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	2
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.
	Not necessary to keep copies of provincial/federal governmental legislation.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-05	LEASES	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the administration of leases and agreements made between the university and outside organizations. Records may include leases and agreements, copies of deeds and property insurance.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	T
TRIGGER:	Until completion.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Involved units should contact the University Secretariat before disposing of any records.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-06	LEGAL OPINIONS	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records related to advice, opinions and background on matters of a legal concern. Records may include interpretation by internal or external counsel of legislation, regulations, contracts, related documentation and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat / General Counsel
	Units receiving advice.

# OF YEARS ACTIVE:	T
TRIGGER:	See filing notes.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on current operational use.
FILING NOTES:	Legal advice records should be retained in unit prior to transfer to Corporate Archives for 5 years after settlement of issue or as long as legal advice remains operational.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-07	PLANNING	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records related to a unit's role in developing short or long-term plans, either university-wide or specific to the unit's area of influence. Records may include instructions from university officers, statements of objectives and goals, proposals, surveys, working papers, reports, plans and related documentation.

OFFICE OF PRIMARY RESPONSIBILITY:	Units
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# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-08	POLICIES AND PROCEDURES	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the establishment of university or unit policies, procedures and standards. Records are associated with the development of decisions, directions, and precedents that act as a reference for future decision-making and as a basis from which the university or unit's operating procedures are determined. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures and administrative practices.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Working papers and insignificant drafts may be destroyed.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-09	PROJECT AND PROGRAM MANAGEMENT	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records made, received or used by units in support of their programs, functions, activities and operations. Records may include correspondence and memoranda, organizational charts, delegation of authority, studies, forms, transaction records, work orders, manuals, briefing and issue notes.

OFFICE OF PRIMARY RESPONSIBILITY:	Units
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# OF YEARS ACTIVE:	T
TRIGGER:	Until completion.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

ADM-10	INTELLECTUAL PROPERTY	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:

Consists of records relating to copyright for works produced or acquired by the University, to patents where the University holds rights, to establishing legal ownership of trademarks or industrial designs in the University's name. Records may include assignment of rights, licenses, administrative forms, certificates, correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat / General Counsel
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# OF YEARS ACTIVE:	T
TRIGGER:	See filing notes.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Records held as long as rights, licenses, and/or authorizations are in effect.
	See ADM-01 for any contracts or agreements relating to intellectual property.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 2:

Campus Operations

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

CAM-00	INCIDENT REPORTS	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to incident, investigations and reports on accidents on campus.

OFFICE OF PRIMARY RESPONSIBILITY:	Facilities Management and Planning – Environmental Health and Safety
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

CAM-01	ACCOMODATIONS, RESIDENCES, AND HOUSING	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the management and operation of housing service activities. Records may include databases of facilities, occupancy, other reports and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Housing and Residence Life Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

CAM-02	ATHLETICS TEAMS AND REGISTRATIONS	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Includes athletics and recreation facility memberships, and day camps registrations. Records may also include varsity, inter- collegiate, intramural or other team rosters, schedules or registrations.

OFFICE OF PRIMARY RESPONSIBILITY:	Carleton Athletics
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of fiscal year.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

CAM-03	CONFERENCE PLANNING AND MANAGEMENT	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Includes folios and reservations for guests, rentals or use of campus facilities for conferences and programs.

OFFICE OF PRIMARY RESPONSIBILITY:	Conference Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until completion.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

CAM-04	EVENTS MANAGEMENT	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records related to planning, creation and conducting of campus events, celebrations, ceremonies, logistics and management of these events.

OFFICE OF PRIMARY RESPONSIBILITY:	Conference Services
	Unit responsible for event.

# OF YEARS ACTIVE:	T
TRIGGER:	Completion
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

CAM-05	FOOD AND BEVERAGE SERVICES	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the management and operation of catering, food and beverage services. Records may include copies of contracts or leases, documentation regarding approval of off-campus caterers, copies of financial records, copies of insurance certificates and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Conference Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of fiscal year.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

CAM-06	LIQUOR LICENSES	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to liquor license applications and management.

OFFICE OF PRIMARY RESPONSIBILITY:

Conference Services

OF YEARS ACTIVE:

T

TRIGGER:

Until after second renewal period.

OF YEARS INACTIVE:

5

FINAL DISPOSITION:

D

RETENTION RATIONALE:

Retention based on anticipated operational use.

Liquor License Act, R.S.O. 1990, c. L. 19

FILING NOTES:

None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

CAM-07	MAIL AND DELIVERY	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to postage, mailings, returned, damaged or lost mail and courier delivery services including freight, customs logs or lists.

OFFICE OF PRIMARY RESPONSIBILITY:	Units
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of fiscal year.
# OF YEARS INACTIVE:	1
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

CAM-08	MEDICAL BILLINGS	CAMPUS OPERATIONS	CURS
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DESCRIPTION:

Consists of records relating to the billings for health, medical or counselling services.

For patient health records, see CAM-09.

OFFICE OF PRIMARY RESPONSIBILITY:	Health and Counselling Services
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# OF YEARS ACTIVE:	T
TRIGGER:	See filing notes.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Health Insurance Act, R.S.O. 1990, c. H.6
	Public Hospitals Act, R.S.O. 1990, c. P.40, Regulation 965
	Personal Health Information Protection Act, 2004, S.O. 2004
FILING NOTES:	Financial records should be kept for at least 10 years after the date of the last entry or 10 years after the patient reaches, or would have reached, the age of 18.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

CAM-09	PATIENT HEALTH RECORDS	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to medical, health, counselling, drug or other medical testing.

OFFICE OF PRIMARY RESPONSIBILITY:	Health and Counselling Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed or, in the case of minors, the day the patient turns or would have turned 18.
# OF YEARS INACTIVE:	10
	10 years after the day the patient turns or would have turned 18.
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Public Hospitals Act, R.S.O. 1990, c. P.40, Regulation 965
	Personal Health Information Protection Act, 2004, S.O. 2004
FILING NOTES:	See section 20(3) of the Public Hospitals Act, R.S.O. 1990, c. P.40, Regulation 965 for more detailed notes on how to maintain patient health records.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

CAM-10	PHYSICIAN AND NURSING RECORDS	CAMPUS OPERATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the day-to-day duties of regulated health professionals that do not constitute as patient specific.

OFFICE OF PRIMARY RESPONSIBILITY:	Health and Counselling Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of fiscal year.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 3:

External Relations

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

EXT-00	ADVANCEMENT CAMPAIGNS	EXTERNAL RELATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records related to programs and activities related to ongoing or special development and fundraising campaigns to raise donations for sponsorships. Records may include prospect research, donor proposals, feasibility studies, appeals, communications and reports of university priorities.

OFFICE OF PRIMARY RESPONSIBILITY:	University Advancement
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	The majority of these records are currently stored in Banner or DUASHARE system.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

EXT-01	DONORS	EXTERNAL RELATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to information about donors and potential donors, their activities and their relationship with the university. Records may include demographic and current contact information, relationship management, news items, amount of pledge/donation, gift agreements, gift-in-kind documentation, pledge cards, credit card receipts, copies of tax receipts and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Advancement – Alumni and Donor Relations
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Income Tax Act (R.S.C., 1985, c. 1 (5 th Supp.))
FILING NOTES:	The majority of these records are currently stored in Banner or DUASHARE system.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

EXT-02	ALUMNI	EXTERNAL RELATIONS	CURS 2017-06
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DESCRIPTION:

Consists of information about alumni, their activities and their relationship with the university. Records may include demographic and current contact information, relationship management, news items, activities and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Advancement – Alumni and Donor Relations
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# OF YEARS ACTIVE:	0
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	The majority of these records are currently stored in the Banner or DUASHARE system.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

EXT-03	MEMORABILIA	EXTERNAL RELATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the creation of any memorabilia, photos for athletic teams, students, faculty, staff and community members that result from such events.

OFFICE OF PRIMARY RESPONSIBILITY:	Unit responsible for event.
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# OF YEARS ACTIVE:	3
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

EXT-04	ACADEMIC CALENDAR	EXTERNAL RELATIONS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the preparation, production and distribution of calendars containing university policies and procedures, program requirements and course offerings. Records may include print or digital editions of the undergraduate, graduate, summer and supplementary calendars and the planning, design, budget, versions, photographs, releases and correspondence that document their creation.

OFFICE OF PRIMARY RESPONSIBILITY:	University Registrar
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of academic year.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D (copies); 1 copy required for Corporate Archives.

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Deposit one copy of final version of calendar in the Corporate Archives.
	The Courseleaf program contains the majority of records pertaining to the creation of the calendar.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

EXT-05	COMMUNICATIONS	EXTERNAL RELATIONS	CURS 2017-06
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DESCRIPTION:

Consists of advertising, announcements, reports, brochures, videos, media reports, news releases, honorary degrees, newsletters, newspapers, pamphlets, Carleton official photos, posters, press releases, Carleton publications, sound recordings, speeches, presentations and addresses. Print or electronic publications and recordings including brochures, guides, newsletters, bulletins, magazines, reports, posters, ads, announcements, proceedings, books or journals. Records may include planning, design, budget, versions, photographs and recordings, distribution logistics, releases and permissions, and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Unit commissioning the product.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

EXT-06	AGENCIES, GOVERNMENT AND MEDIA RELATIONS	EXTERNAL RELATIONS	CURS 2017-06
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DESCRIPTION:

Consists of information related to Carleton relationships to the community, municipal, provincial, federal and other governments, external agencies and organizations as well as media.

OFFICE OF PRIMARY RESPONSIBILITY:	Units
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of fiscal year.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 4:

Facilities and Properties

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

FAC-00	ARCHITECTURAL DRAWINGS & SPECIFICATIONS	FACILITIES AND PROPERTIES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to building plans, specifications, construction drawings and plans.

OFFICE OF PRIMARY RESPONSIBILITY:	Facilities Management and Planning
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# OF YEARS ACTIVE:	5
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FAC-01	BUILDING PERMITS	FACILITIES AND PROPERTIES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to applications and management of building or construction permits.

OFFICE OF PRIMARY RESPONSIBILITY:	Facilities Management and Planning
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# OF YEARS ACTIVE:	T
TRIGGER:	Until completion.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FAC-02	ASSET CONTROL AND INVENTORIES	FACILITIES AND PROPERTIES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the control of university movable assets including storage and inventory. Movable assets include any asset except real estate or other interests in land. Examples are equipment, furniture and university vehicles. Records may include delivery notices, storage location lists and inventories.

OFFICE OF PRIMARY RESPONSIBILITY:	Units
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# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded or obsolete.
# OF YEARS INACTIVE:	2
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FAC-03	MAINTENANCE	FACILITIES AND PROPERTIES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to service and maintenance requests, repairs for buildings and equipment on campus. May include correspondence, memoranda regarding projects, maintenance work, documentation of use of facilities and equipment, records of maintenance logs, tests, service reports, and work orders.

OFFICE OF PRIMARY RESPONSIBILITY:	Facilities Management and Planning
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# OF YEARS ACTIVE:	T
TRIGGER:	End of fiscal year.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FAC-04	PARKING ADMINISTRATION	FACILITIES AND PROPERTIES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the management of parking and transportation services. Records may include studies, reports, correspondence violation notices, and appeals.

OFFICE OF PRIMARY RESPONSIBILITY:	Department of University Safety – Parking Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until completion.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FAC-05	ROOM BOOKINGS	FACILITIES AND PROPERTIES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to bookings of meeting rooms, theatres and other facilities as part of ongoing operations of the University.

OFFICE OF PRIMARY RESPONSIBILITY:	Applicable unit.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of academic year.
# OF YEARS INACTIVE:	1
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Records may be stored in: Enterprise Space Booking System, Conference Services Room Bookings, or Microsoft Outlook.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FAC-06	UTILITIES	FACILITIES AND PROPERTIES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the supply and management of the University utilities including the procurement of electricity, the operation and maintenance of plants, boilers and compressed air systems. Records may include meter readings, data analysis, inspection reports, power disruption reports, work orders and service reports.

OFFICE OF PRIMARY RESPONSIBILITY:	Facilities Management Planning
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of fiscal year.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 5:

Financial Management

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

FIN-00	ACCOUNTS PAYABLE	FINANCIAL MANAGEMENT	CURS 2017-06
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DESCRIPTION:

Consists of records relating to expenditures and purchases. Records may include requisitions and purchase orders, invoices, charge accounts, supporting documents, cheques, Canadian and foreign drafts, reimbursements of travel and moving expenses and requests for advances.

OFFICE OF PRIMARY RESPONSIBILITY:	Financial Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Income Tax Act (R.S.C., 1985, c.1 (5 th Supp.)), section 230 (4)(b)
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FIN-01	ACCOUNTS RECEIVABLE	FINANCIAL MANAGEMENT	CURS 2017-06
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DESCRIPTION:

Consists of records relating to management of accounts receivable and revenue controls. Records may include credit card payment forms, invoices, journal vouchers, receipts, collection records, related documentation and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Financial Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Income Tax Act (R.S.C., c.1, 5 th Supp.)), section 230 (4)(b)
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FIN-02	AUDIT REPORTS	FINANCIAL MANAGEMENT	CURS 2017-06
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DESCRIPTION:

Consists of records relating to internal audits of units' financial system and records. Records may include copies of material provided to auditors, audit reports, background support material, responses and related documentation.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the Vice-President (Finance and Administration)
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# OF YEARS ACTIVE:	0
TRIGGER:	
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on audit and accounting requirements.
FILING NOTES:	External audits should be retained permanently.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FIN-03	BANKING	FINANCIAL MANAGEMENT	CURS 2017-06
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DESCRIPTION:

Consists of records relating to management of the University's banking. Records may include statements, transfers, reconciliations, Canadian and foreign drafts, cashed cheques, cash flow reports, service contracts, credit card activity and petty cash administration.

OFFICE OF PRIMARY RESPONSIBILITY:	Financial Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Income Tax Act (R.S.C., 1985, c. 1), section 230 (4)(b)
FILING NOTES:	Retention for provincial government transfers and cash flow analyses are permanent.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FIN-04	BUDGETS (UNIVERSITY-WIDE)	FINANCIAL MANAGEMENT	CURS 2017-06
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DESCRIPTION:

Consists of records relating to planning, control and follow-up of the annual University budget and its components (operating funds, investment funds, research funds, special funds, trust funds). Records may include year-end financial statements, budget frameworks and rules, budget estimates and submissions, approved budgets and revisions, bridging summaries, monthly budget summaries, related documentation and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Financial Services
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# OF YEARS ACTIVE:	0
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Income Tax Act (R.S.C., 1985, c. 1), section 230 (4)(b)
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FIN-05	FINANCIAL REPORTING AND STATEMENTS	FINANCIAL MANAGEMENT	CURS 2017-06
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DESCRIPTION:

Consists of records related to journal, ledger and financial statements.

OFFICE OF PRIMARY RESPONSIBILITY:	Financial Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Income Tax Act (R.S.C., 1985, c.1, 5 th Supp.)), section 230 (4)(b)
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

FIN-06	PROCUREMENT	FINANCIAL MANAGEMENT	CURS 2017-06
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DESCRIPTION:

Consists of records relating to acquisition of goods and services including bid and competitive selection processes. Records may include specifications, requests for proposals (RFP) and requests for tender (RFT), vendor proposals and bids and records of all bids received, department requisition forms, related documentation and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Purchasing Services
	Unit that has signing authority

# OF YEARS ACTIVE:	T
TRIGGER:	See filing notes.
# OF YEARS INACTIVE:	See filing notes.
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Procurement records are active until the respective contract is superseded or until 1 year after the contract has expired or action completed. If there is a warranty that provides longer coverage, then records are retained for the length of the warranty.
	See ADM-01 for information concerning any contracts and agreements related to procurement.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 6:

Governance

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

GOV-00	UNIVERSITY GOVERNANCE	GOVERNANCE	CURS 2017-06
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DESCRIPTION:

Consists of records relating to University advisory councils, elections/referenda, by- laws, delegation of authority and signatures and the Carleton University Act.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

GOV-01	BOARD MEETINGS	GOVERNANCE	CURS 2017-06
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DESCRIPTION:

Consists of records relating to proceedings and actions of the Board of Governors. The government, conduct, management and control of the University and its property, revenues, expenditures, business and affairs are vested in the Board. Records may include agenda packages, minutes, reports, working papers, presentations, related documentation and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	3
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	3 years after the last action the records must be transferred to the Corporate Archives.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

GOV-02	BOARD COMMITTEES	GOVERNANCE	CURS 2019-04
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DESCRIPTION:

Consists of records relating to proceedings and actions of committees and subcommittees of the Board of Governors. The government, conduct, management and control of the University and its property, revenues, expenditures, business and affairs are vested in the Board. Records may include agenda packages, minutes, reports, working papers, presentations, related documentation and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	3
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	3 years after the last action the records must be transferred to the Corporate Archives.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

GOV-03	SENATE	GOVERNANCE	CURS 2019-04
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DESCRIPTION:

Consists of records relating to proceedings and actions of Senate. Discussions and actions of this body deal with such areas as curriculum, academic standards, program development, faculty/librarian promotion and tenure. Records may include agenda packages, minutes, reports, working papers, presentations, related documentation and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	3
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	3 years after the last action the records must be transferred to the Corporate Archives.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

GOV-04	SENIOR EXECUTIVE SEARCH COMMITTEES	GOVERNANCE	CURS 2019-04
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DESCRIPTION:

Consists of records relating to the proceedings of competitions for senior executive and senior administration of the university, including: President, Vice-Presidents, Deans, Directors, and department Chairs. Records may include committee protocols and procedures, member lists, minutes, agendas, job descriptions and postings, evaluation and ranking rubrics, research and reference materials, reports from third-party search companies, interview questions and answers, curriculum vitae and publications, reference letters, and teaching evaluations and materials.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
	Faculty or unit responsible for search committee

# OF YEARS ACTIVE:	1
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	1
FINAL DISPOSITION:	AR (Selective retention by Corporate Archives)

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Select records from successful candidates may be incorporated into the incumbent's personnel file or biographical files held by unit.
	Committee Chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members. Please see the <i>Guide to Records Management for Committees</i> or contact the Corporate Archives directly for assistance.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

GOV-05	SENATE COMMITTEES	GOVERNANCE	CURS 2019-04
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DESCRIPTION:

Consists of records related to proceedings, actions, and support of committees, subcommittees, and ad hoc committees of Senate. Records may include agendas, minutes, reports, working papers, presentations, committee member information, related documentation and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat
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# OF YEARS ACTIVE:	3
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	3 years after the last action the records must be transferred to the Corporate Archives.
	Each committee is responsible for filing and up-dating revisions to committee Terms of Reference with the University Secretary.
	Committee Chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members. Please see the <i>Guide to Records Management for Committees</i> or contact the Corporate Archives directly for assistance.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 7:

Human Resources

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-00	JOB DESCRIPTIONS	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the drafting and creation of job descriptions for university positions.

NOTE: Faculty and Librarians should refer to Appendix A: Retention and Disposal of Faculty Personnel Records and all questions should be referred to the Office of the Provost and Vice-President (Academic).

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
	Office of the Provost and Vice-President (Academic)

# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Working job descriptions and backups should be kept for 7 years and then securely disposed.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-01	ANNUAL INCREASES PROCESS	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the annual increases process for employees.

NOTE: Faculty and Librarians should refer to Appendix A: *Retention and Disposal of Faculty Personnel Records* and all questions should be referred to the Office of the Provost and Vice-President (Academic).

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
	Office of the Provost and Vice-President (Academic)

# OF YEARS ACTIVE:	7
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	CUPE and Admin Tech step increases should be kept for 3 years and then securely disposed.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-02	POSITION ACTIVITIES	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records concerning position activity forms that are used in exchange with Finance to confirm the funding for a specific position.

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
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# OF YEARS ACTIVE:	3
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-03	GENDER DOMINANCE BINDERS	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records related to codes attached to a job with a brief content description that helps to determine the gender dominance position of males or females in the university work force.

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
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# OF YEARS ACTIVE:	1
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-04	SALARY REVIEW	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the administration of salary and wage matters. Records may include rates of pay, deductions, regulations, schedules, and standards for payment of wages.

NOTE: Faculty and Librarians should refer to Appendix A: *Retention and Disposal of Faculty Personnel Records* and all questions should be referred to the Office of the Provost and Vice-President (Academic).

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
	Office of the Provost and Vice-President (Academic)

# OF YEARS ACTIVE:	T
TRIGGER:	Until end of calendar year.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-05	PENSION	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to pension settlements and payments, concerning employees of the University. Records may include pensioner files, termination statements, refund statements and adjustment records.

OFFICE OF PRIMARY RESPONSIBILITY:	Finance and Administration – Pension Fund Management
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# OF YEARS ACTIVE:	0
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Dispose of transitory records when operational use ceases, or they are superseded or become obsolete.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-06	DISCIPLINE AND TERMINATION	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the administration of disciplinary actions or termination of an employee, as well as case files regarding such actions.

NOTE: Faculty and Librarians should refer to Appendix A: *Retention and Disposal of Faculty Personnel Records* and all questions should be referred to the Office of the Provost and Vice-President (Academic).

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
	Office of the Provost and Vice-President (Academic)

# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	These records include those related to professional services, faculty/librarians, contract instructors, and teaching assistants.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-07	ISSUES/COMPLAINTS, GRIEVANCES AND ARBITRATION	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to policies, methods, and procedures for handling grievances and complaints of employees, as well as individual case files, human rights complaints, and classification appeals. Records may include grievance files, arbitration files, complaints, and related correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of calendar year.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Individual case files may be grouped by employee category. These records include those related to professional services, faculty/librarians, teaching assistants, and casual employees.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-08	LABOUR RELATIONS – PROFESSIONAL SERVICES/FACULTY	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the relationships between management and faculty/librarians including agreements, memorandum of agreement files, newsletters, and union leave requests/approvals.

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of calendar year.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Union leave records are maintained for 2 years and then securely disposed.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-09	STAFFING – COMPETITIONS AND RECRUITMENT	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to competitions and recruitment for professional services staff, faculty and librarians. Records may include email correspondence, interview schedule and questions, accepted/rejected offers and interview panel notes.

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
	Office of the Provost and Vice-President (Academics)

# OF YEARS ACTIVE:	T
TRIGGER:	Until end of calendar year.
# OF YEARS INACTIVE:	2
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-10	STAFFING – PROMOTION/TENURE	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records related to the promotion of professional services staff and faculty/librarians.

NOTE: Faculty and Librarians should refer to Appendix A: *Retention and Disposal of Faculty Personnel Records* and all questions should be referred to the Office of the Provost and Vice-President (Academic).

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
	Office of the Provost and Vice-President (Academic)

# OF YEARS ACTIVE:	T
TRIGGER:	Until end of term/contract
# OF YEARS INACTIVE:	6
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Collective agreement between Carleton University and Carleton University Academic Staff Association.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-11	EMPLOYEES – INDIVIDUAL	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to individuals in all employee categories. Records may include signed letters of offer, renewals, awards, organizational assignment information, personal information, leave requests and performance appraisals.

NOTE: Faculty and Librarians should refer to Appendix A: *Retention and Disposal of Faculty Personnel Records* and all questions should be referred to the Office of the Provost and Vice-President (Academic).

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
	Office of the Provost and Vice-President (Academic)

# OF YEARS ACTIVE:	T
TRIGGER:	Until end of term/contract
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Collective agreement between Carleton University and Carleton University Academic Staff Association.
FILING NOTES:	Files for TAs and casual hires should be kept for 7 years and then destroyed.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-12	LEAVE MANAGEMENT	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to attendance. Records may include attendance reports, seniority calculations, vacation, designated paid holidays and special types of leaves.

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of calendar year.
# OF YEARS INACTIVE:	6
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Units are only required to keep records on leave for 1 year or until no longer operationally useful.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

HUM-13	PAYROLL	HUMAN RESOURCES	CURS 2017-06
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DESCRIPTION:

Consists of records relating to payroll management and to payments made by the University. Records may include payroll registers, wage documents, benefit files and all other payments to employees at the University.

OFFICE OF PRIMARY RESPONSIBILITY:	Human Resources
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of calendar year.
# OF YEARS INACTIVE:	6
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Income Tax Act (R.S.C., 1985, c.1)
FILING NOTES:	Units other than Human Resources that retain payroll information should contact Human Resources if they have any questions about how to manage these records.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 8:

Information Management and Technology

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

INF-00	ACCESS AND PRIVACY	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records relating to access to information requests made under the Freedom of Information and Protection of Privacy Act (FIPPA) and complaints regarding privacy breaches. Records may include access request forms, acknowledgement letters, third party notices, fee estimates, access recommendations, record search worksheets, research agreements, notice and confirmation of appeal and written representations.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the General Counsel – Privacy Office
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on operational use.
	Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F. 31, Regulation 459
FILING NOTES:	Informal requests should be retained for 1 year after last action.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

INF-01	ARCHIVES	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records that have been assessed by the Archives (Corporate Archives or Archives and Research Collection) that have been appraised, assessed and entered into the formal collection. These records have enduring value for the University.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat – Corporate Archives
	MacOdrum Library – Archives and Research Collection

# OF YEARS ACTIVE:	0
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F. 31, Regulation 459
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

INF-02	COPY AND PRINTING	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the provision of printing and digitizing services. Records may include work orders, inventories, and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Unit responsible for requesting the service.
	Print Shop

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

INF-03	HARDWARE	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records relating to maintenance and repairs of computing equipment and supplies, including all desktops, laptops, and their peripherals. Records may include user guidelines, operation manuals, maintenance and repair log books, warranties, maintenance contracts and service agreements.

OFFICE OF PRIMARY RESPONSIBILITY:	Applicable unit
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# OF YEARS ACTIVE:	T
TRIGGER:	Until disposal of asset
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	When entering Final Disposition, all information contained on any electronic drives should be disposed of properly and securely.
	See ADM-01 for retention guidance on any contracts or agreements relating to Hardware purchases.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

INF-04	INFORMATION GOVERNANCE	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the establishment of the information technology and collections management policies, procedures and standards. Records are associated with the development of decisions, directions, and precedents that act as a reference for future decision-making. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures and administrative practices.

OFFICE OF PRIMARY RESPONSIBILITY:	Information Technology Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

INF-05	LIBRARY COLLECTIONS MANAGEMENT	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the management of holdings including accessioning and cataloguing, preservation and bibliographic maintenance. Records may include cataloguing standards, inventory lists of library resources and guides.

OFFICE OF PRIMARY RESPONSIBILITY:	MacOdrum Library
	Departmental Resource Centre

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action/superseded.
# OF YEARS INACTIVE:	2
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	See ADM-01 for any contracts or agreements related to collections management.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

INF-06	RECORDS AND INFORMATION	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the records management of University information. Records may include records classifications, retention schedules, policies and guidelines.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat – Corporate Archives
	Units

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Various units have policies and guidelines that complement the Carleton University Records Retention Schedule. These records should follow the guidance in INF-06.
	A copy of policies and guidelines from various units should be sent to Corporate Archives for reference.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

INF-07	ENTERPRISE APPLICATIONS	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records relating to applications that facilitate the operational and supporting processes of the University. These are large-scale university-wide applications that may be developed in-house or in conjunction with vendors. Examples include finance, human resources, payroll, course management, classroom equipment booking, library catalogue, parking and temperature control systems. Records may include project charters, service level agreements, and sign-off documents.

OFFICE OF PRIMARY RESPONSIBILITY:	Responsible Unit.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until disposal of asset.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

INF-08	TELECOMMUNICATIONS AND NETWORKS	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:

Consists of records relating to networked and telecommunications systems. Records may include project charters, specifications, system architecture, and sign-off documents.

OFFICE OF PRIMARY RESPONSIBILITY:	Information Technology Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until disposal of asset.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 9:

Research

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

RES-00	PARTNERSHIPS AND COLLABORATION	RESEARCH	CURS 2019-04
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DESCRIPTION:

Consists of records related to the development, establishment and management of research partnerships and collaborations with other universities, research bodies (both public and private) and corporations. Records may include correspondence, memoranda of understanding (MOU), non-disclosure agreements, protocols, contribution agreements, service agreements, and related intellectual property and licensing agreements.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the Vice-President (Research and International)
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# OF YEARS ACTIVE:	T
TRIGGER:	After last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR (Selective retention by Corporate Archives)

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

RES-01	RESEARCH APPLICATIONS AND PROPOSALS	RESEARCH	CURS 2019-04
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DESCRIPTION:

Consists of records relating to the submission and administration of proposals for research projects, both internal and external grants, successfully funded and non-funded. May include formal applications, budgets and supporting budget documents, project descriptions, agreements, reporting, biographical information of principal investigator and related researchers, and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the Vice-President (Research and International)
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# OF YEARS ACTIVE:	T
TRIGGER:	After last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR (Selective retention by Corporate Archives)

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

RES-02	RESEARCH INFORMATION	RESEARCH	CURS 2019-04
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DESCRIPTION:

Consists of records relating to administrative records of research projects and potential funding sources. Records may include information or profiles of researchers and correspondence, reference material, and internal or external publications sources.

OFFICE OF PRIMARY RESPONSIBILITY:	Unit responsible for researcher(s).
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last financial report.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions
FILING NOTES:	Research data generated and held by researchers are outside the scope of this retention schedule. The requirements, in part, are determined by external factors (ie: scholarly journal standards, etc.)

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

RES-03	RESEARCH CONTRACTS AND AGREEMENTS	RESEARCH	CURS 2019-04
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DESCRIPTION:

Consists of records related to the administration of executed research contracts and agreements, including addenda and amending agreements, preliminary and draft material, transfer agreements, contribution agreements, service contracts, purchase orders, subcontracts, non-disclosure agreements, and pay schedules. May also include licenses and agreements with respect to technology and intellectual property, and related confidentiality and non-disclosure agreements.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the Vice-President (Research and International)
	University Secretariat

# OF YEARS ACTIVE:	T
TRIGGER:	Expiration of contract or agreement.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR (Selective retention by Corporate Archivist)

RETENTION RATIONALE:	Carleton University Signing Authorities Policy
FILING NOTES:	Per the Signing Authorities Policy, units must deposit signed contracts and agreements with the University Secretary upon signing when that contract either (i) has a Total Value that is greater than \$100,000 (ii) the Total Value is less than \$100,001 but the initial term is five years or greater or (iii) potentially exposes the University to a Significant Risk. Units that are responsible for such contracts and agreements generally should retain copies of contract(s) based on anticipated use and CURS.
	Digital contracts, agreements and supporting documentation managed in the database system of the Carleton Office for Research Initiatives and Services (CORIS). Hardcopy versions of records are selected, digitized and uploaded along with born-digital records. Anticipated use is ongoing and selection of records in database is performed by authorized CORIS staff.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

RES-04	RESEARCH ETHICS BOARD MANAGEMENT	RESEARCH	CURS 2019-04
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DESCRIPTION:

Consists of records documenting the support of the activities and deliberations of the Carleton University Research Ethics Board (CUREB), the Animal Care Committee, and the Biohazards Committee. May include minutes, agendas, membership information, protocols and procedures, correspondence, reference materials, approval records from Animal Care Committee and Biohazards Committee, reports, and studies.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of Research Ethics
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR (Selective retention by Corporate Archives)

RETENTION RATIONALE:	Retention base on anticipated operational use.
	Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

RES-05	UNDERGRADUATE & COURSE RELATED ETHICS CASE FILES	RESEARCH	CURS 2019-04
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DESCRIPTION:

Consists of records regarding the ethics review applications and protocols for course and student research projects (course and undergraduate), which are of minimal risk. These records may include ethics review applications, ethics certificates, ethics protocols, approvals, related correspondence, progress reports, and final reports.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of Research Ethics
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)
	Record Retention: Departmental Reviews of Student Projects / Interagency Advisory Panel on Research Ethics (February 2004)
FILING NOTES:	None

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

RES-06	GRADUATE, POST-GRADUATE, DOCTORAL FELLOWS, FACULTY & STAFF RESEARCH ETHICS CASE FILES	RESEARCH	CURS 2019-04
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DESCRIPTION:

Consists of records related to the ethics review applications protocols for research projects of post-graduate, faculty and staff of Carleton University. These records may include ethics review applications, ethics certificates, ethics protocols, approvals, related correspondence, progress reports, and final reports.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of Research Ethics
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

RES-07	AWARDS AND PRIZES TO RESEARCHERS	RESEARCH	CURS 2019-04
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DESCRIPTION:

Consists of working documents, membership, protocols, minutes, and guidelines of the Carleton University Prizes and Awards Committee (CUPAC). Programs, awards and descriptions, calls for nominations, nomination dossiers, evaluations and recommendations, lists of candidates, and notifications of acceptance.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the Vice-President (Research and International)
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	AR (Selective retention by Corporate Archives)

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 10:

Students

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

STU-00	ACADEMIC RECORDS	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to undergraduate and graduate students admitted and registered at Carleton University. Records may include general information about the student, advanced standing/transfer credit granted, transcripts and course outlines from other institutions, faculty transfer confirmations, course withdrawal forms, petition decision letters, academic progress records, courses taken, results by course, registration contracts, copies of immigration status, records of academic awards or honours, and Carleton transcripts and degree conferrals.

OFFICE OF PRIMARY RESPONSIBILITY:	Registrar's Office
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# OF YEARS ACTIVE:	0
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Identified records must be retained permanently in order to maintain an accurate academic history of each student.
FILING NOTES:	For more information about how to maintain academic records please contact the Registrar's Office.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-01	STUDENT APPLICANTS	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records of applications for admission to Carleton University undergraduate programs. Records may include applications, supporting documentation, portfolio materials, standardized test scores (TOEFL, LSAT, SAT), final decisions of admission committees, appeals, file analysis documents and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Registrar's Office
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# OF YEARS ACTIVE:	T
TRIGGER:	Enrollment
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	(See filing notes)

RETENTION RATIONALE:	Retention based on operational use.
FILING NOTES:	Records should be transferred to the student's academic record when they are enrolled. See STU-00 for more information on how to maintain academic records.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-02	DISCIPLINE	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to student involvement with the University's non-academic code of behavioural conduct. Records may include complaints, submissions, interview notes, hearing documents, security reports, decisions, agreements, appeals documentation, correspondence and related documentation.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the Associate Vice-President – Students and Enrolment
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Note that the University Secretary and the Director of Student Affairs are involved with the process of enforcing and appealing the non-academic code of behavioural contact.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-03	FINANCIAL ASSISTANCE (STUDENTS)	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to financial aid, Ontario Student Assistance Program (OSAP), scholarships, bursaries and awards. Records may include copies of financial records, signature forms, approved gift agreements, award proposals, requirements for eligibility of awards and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Student Services – Awards and Financial Aid
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Records relating to financial matters must be kept for 7 years to satisfy accounting and audit requirements.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-04	INTERNSHIPS	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the administration and organization of exchange programs, practicums, internships or experiential learning. Records may include exchange agreements, requirements, application procedures and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Carleton International
	International Student Services Office

# OF YEARS ACTIVE:	T
TRIGGER:	Until completion.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-05	RECRUITMENT (OF STUDENTS)	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to promotional activities for the purpose of recruiting new students to Carleton University such as open houses, tours, participation in information fairs and functions. Records may include correspondence, planning records, schedules and records used to track potential applicants.

OFFICE OF PRIMARY RESPONSIBILITY:	Undergraduate Admissions
	Graduate Admissions
	Unit responsible for student recruitment

# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-06	ACCOMMODATIONS (ACCESS/DISABILITIES)	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to academic accommodations programs, evaluations by health practitioners, liaising with faculty and departments, and various student support services. These services may include note taking assistance, adaptive equipment loans and sign language interpretation.

OFFICE OF PRIMARY RESPONSIBILITY:	Paul Menton Centre
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-07	ADVISING (OF STUDENTS)	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to academic and non-academic support programs, financial education programs, community development programs and services such as mediation, problem solving and crisis intervention, dispute resolution, orientation, training and social activities. Student support services may also include academic advising.

OFFICE OF PRIMARY RESPONSIBILITY:	Student Services
	Unit responsible for applicable support services.

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-08	EMPLOYMENT AND CAREERS (STUDENTS)	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to career counselling, questionnaires, diagnostic tests and job search assistance information.

OFFICE OF PRIMARY RESPONSIBILITY:	Carleton University Co-op Office
	Applicable Unit.

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-09	EXCHANGE STUDENTS	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the administration and organization of exchange programs, practicums, internships or experiential learning. Records may include exchange agreements, requirements, application procedures, exchange contacts and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	International Student Services Office
	Units responsible for applicable practicums, internships and/or experiential learning

# OF YEARS ACTIVE:	T
TRIGGER:	Until end of program.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-10	INTERNATIONAL STUDENTS	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the administration of services for international students. Records may include memoranda of understanding, objectives, lists of participating institutions, lists of student participants, conditions and procedures (registration, assistance, insurance, troubleshooting etc.)

OFFICE OF PRIMARY RESPONSIBILITY:	International Student Services Office
	Units providing services to international students

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-11	DIVERSITY AND INCLUSION	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to anti-racism, equity, human rights and visible minorities concerning students. These records may include complaints, resource documentation, related employment files, accommodations and related correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Equity Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-12	ORIENTATION (OF STUDENTS)	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to orientation activities for new students. Records may include budget, registration and attendance lists, publicity, photographs and recordings, administrative logistics and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Student Experience Office
	Unit responsible for applicable event.

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-13	STUDENT GROUPS	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records that document the University's interaction with student associations on campus, student governments and other organizations. Records may include correspondence, reports.

OFFICE OF PRIMARY RESPONSIBILITY:	Unit responsible for interacting with applicable student group.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-14	COMMUNICATIONS (WITH STUDENTS)	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to communication between University staff and students. Records may include transcript requests, general inquiries, documents concerning student issues and related correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Unit responsible for communication with student(s).
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	1
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c.F.31
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

STU-15	FACULTY STUDENT FILES	STUDENTS	CURS 2017-06
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DESCRIPTION:

Consists of records relating to documenting the admission, registration, academic performance, monitoring, advising, examination and convocation of individual students. Records may include award notifications, consent forms, evaluations, exam deferral requests, grades/results, approved leaves of absence forms, correspondence, validations of participation and withdrawal forms.

OFFICE OF PRIMARY RESPONSIBILITY:	Faculty and departmental units.
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# OF YEARS ACTIVE:	T
TRIGGER:	See filing notes.
# OF YEARS INACTIVE:	See filing notes.
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Records should be kept for 3 years after student has graduate OR for 5 years after last registration.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

Section 11:

Teaching

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);

P = Permanent Retention

D = Destruction

AR = Archival Review Required.

TEA-00	ACCREDITATION	TEACHING	CURS 2019-04
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DESCRIPTION:

Consists of records relating to obtaining and maintaining accreditation for University programs from external organizations, board and associations.

OFFICE OF PRIMARY RESPONSIBILITY:	Applicable unit.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	AR (selective retention by Corporate Archives).

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

TEA-01	COURSES AND CURRICULUM	TEACHING	CURS 2019-04
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DESCRIPTION:

Consists of records relating to the management and administration of courses in degree programs. Records may include syllabi, course descriptions and outlines, course requests and proposals, grading schemes and grade reporting and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Faculty and departmental units.
	Applicable faculty member/instructor.

# OF YEARS ACTIVE:	T
TRIGGER:	Until end of academic year.
# OF YEARS INACTIVE:	10
FINAL DISPOSITION:	AR (Selective retention by Corporate Archives).

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

TEA-02	STUDENT ASSIGNMENTS AND EXAMINATIONS	TEACHING	CURS 2019-04
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DESCRIPTION:

Consists of records relating to student assignments and examination material that is unclaimed by students. Records may include exams, quizzes, student papers, and thesis defense results.

OFFICE OF PRIMARY RESPONSIBILITY:	Faculty and departmental units.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of academic year.
# OF YEARS INACTIVE:	1
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use. Materials used for an appeal process cannot be destroyed until said process is exhausted.
	Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c.F31
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

TEA-03	PROGRAM REVIEW	TEACHING	CURS 2019-04
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DESCRIPTION:

Consists of records relating to internal and external reviews of academic programs. These records may include self-studies, background supporting documentation, reports and related correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the Vice-President (Academic)
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# OF YEARS ACTIVE:	T
TRIGGER:	Until file closed.
# OF YEARS INACTIVE:	See filing notes.
FINAL DISPOSITION:	AR (Selective retention by Corporate Archives).

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Records should be maintained for 2 review periods for cyclical reviews.
	Records should be maintained in office for 7 years for ad hoc reviews.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

TEA-04	SCHEDULING AND ENROLMENT	TEACHING	CURS 2017-06
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DESCRIPTION:

Consists of records relating to curriculum coordination and scheduling of courses in degree programs, course calendars, and timetables. Records may include course preference forms, course selections, enrolment forecasts, course lists by term, room allocation, documentation concerning the creation of course calendars and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Office of the Vice-President (Students and Enrolment)
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# OF YEARS ACTIVE:	T
TRIGGER:	Until end of academic year.
# OF YEARS INACTIVE:	7
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

TEA-05	PEDAGOGY	TEACHING	CURS 2017-06
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DESCRIPTION:

Consists of records relating to the implementation and administration of programs to improve student learning through effective teaching, course design, use of technology and student assessment. Records may include reports, guides, and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Faculty and departmental units.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	AR (Selective retention by Corporate Archives).

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	None.

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
P = Permanent Retention
D = Destruction
AR = Archival Review Required.

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.

Faculty Personnel File Documents		
Item	Retention Schedule	Disposal
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
NOTE: 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.

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

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

ADDITIONAL RELEVANT POLICIES

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

CANDIDATE DOSSIERS

3. **All candidate dossiers should be retained intact for three months following the completion of the promotions process (16.7).**
4. 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"> 1. <u>If no appeal is filed</u>, retain documents for one year, then dispose. 2. <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. 3. NOTE: Letter of reference and appraisal must be kept for future consideration if requested by candidate (16.8(b))
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

5. 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"> 1. <u>If no appeal is filed</u>, retain documents for one year, then dispose. 2. <u>If an appeal is filed</u>, retain documents until the PAC's decision letter is issued to the candidate, then dispose.
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:

Promotion Appeal Committee Documents	
Item	Retention Schedule
Candidate's original dossier (excluding letters of reference and appraisal)	Dispose NOTE: The candidate's most recent CV is filed in their faculty file
Letters of reference and Appraisal	Dispose NOTE: 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

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

ADDITIONAL RELEVANT POLICIES

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

CANDIDATE DOSSIERS

9. All candidate dossiers should be retained intact for three months following the completion of the tenure/confirmation process (16.7).
10. 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"> 1. If no appeal, retain for one year, then dispose. 2. If there is an appeal, retain documents until the STAC decision letter has been issued to the candidate, then dispose.
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

5. 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

6. 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 NOTE: 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.