

# Carleton University Retention Schedule

## Section 1

### ADMINISTRATION

Records and data in this category document major administrative functions for all work units at the university. Retention scheduling for this section covers major agreements such as contracts and leases, legal services and documentation, regulatory control of the university, as well as the records and correspondence of the university's executive officers (President, Vice-Presidents, Deans).

<a href="#"><u>Retention Schedule Instructions</u></a>	2
ADM-00 <a href="#"><u>Policies, Procedures and Standards</u></a>	3
ADM-01 <a href="#"><u>Reports and Statistics</u></a>	4
ADM-02 <a href="#"><u>Project and Project Management</u></a>	5
ADM-03 <a href="#"><u>Committees</u></a>	6
ADM-04 <a href="#"><u>Claims and Litigation</u></a>	7
ADM-05 <a href="#"><u>Contracts and Agreements</u></a>	8
ADM-06 <a href="#"><u>Department Management</u></a>	9
ADM-07 <a href="#"><u>Executive Files and Correspondence</u></a>	10
ADM-08 <a href="#"><u>Laws and Regulations</u></a>	11
ADM-09 <a href="#"><u>Leases</u></a>	12
ADM-10 <a href="#"><u>Legal Opinions</u></a>	13
ADM-11 <a href="#"><u>Planning</u></a>	14
ADM-12 <a href="#"><u>Intellectual Property</u></a>	15

### CORPORATE RECORDS & ARCHIVES

## Retention Schedule Instructions

Rule No.	Rule Name	SECTION NAME	Implementation Date
<b>Description</b> Description of administrative or operational functions and their key records. Units should contact Corporate Records and Archives if there is concern that the retention rule does not include their records under the function.			
<b>Office of Primary Responsibility</b> Identifies the department, unit, or position that has ultimate responsibility for the creation, management, retention, and disposition of the records covered under the rule.			
<b>Retention Summary</b> Summary of the length of time you must retain records in this rule after it is no longer active.			
<b>Final Disposition</b> How to dispose of the records once the retention period is finished – Archival Review ( <b>AR</b> ), Destruction ( <b>D</b> ), or Transfer to Corporate Archives ( <b>P</b> ). The key at the bottom of this page is on every rule in CURS.			
<b>Retention Rationale</b> Explanation for why the retention and disposition is set as it is. Often due to operations but can also include reference to university policy, legislation, or industry requirements.			
<b>Filing Notes/Location</b> Additional instructions for retention or disposition or instructions on handling edge cases in the records covered by the rule.			
<b>Secondary Copies</b> Instructions for record holders who are <b>not</b> the Office of Primary Responsibility.			
<b>Special Instructions</b> <i>Digitization:</i> Any instructions related to the digitization of hard copy records. <i>See also:</i> Pointers to other rules that might be similar/more appropriate for your use.			

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**ADM-00 Policies, Procedures, & Standards ADMINISTRATION 2023-05**

**Description**

Consists of records relating to the establishment of a unit's administrative 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 a unit's operating procedures and are determined. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

Does not include university-wide policies governed by the Board of Governors or Senate.

**Office of Primary Responsibility**

Designated unit

**Retention Summary**

Retain until superseded. D

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational use.

**Filing Notes/Location**

--

**Secondary Copies**

Transitory. Destroy when no longer needed for reference or convenience.

**Special Instructions**

Digitization: --

See also: For university-wide policies, see: **GOV-00 - University Policies, Procedures, and Standards.**

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**Description**

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to administration and delivery of mandate. Does not include transitory external reports and statistics used as reference.

**Office of Primary Responsibility**

Designated unit.

**Retention Summary**

Retain in unit for minimum 5 years from creation.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

Transitory. Destroy when no longer needed for reference or convenience.

**Special Instructions**

Digitization: Hard copy reports may be replaced by digitized versions.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**Description**

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, briefings, and issue notes.

**Office of Primary Responsibility**

Designated unit.

**Retention Summary**

Retain in unit for minimum 3 years from completion of project.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational use.

**Filing Notes/Location**

Units may discuss and document an alternative retention length for administrative project management records in consultation with Corporate Records and Archives. Contact Corporate Records and Archives for more information.

**Secondary Copies**

Transitory. Destroy when no longer needed for reference or convenience.

**Special Instructions**

Digitization: Hard copies may be destroyed when replaced with digitized versions.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**ADM-03**

**Committees**

**ADMINISTRATION**

**2023-05**

**Description**

Records documenting the proceedings and actions of standing or ad hoc committees tasked with administrative duties for departments or unit.

**Office of Primary Responsibility**

Designated unit

**Retention Summary**

Retain in unit for minimum 3 years from creation of record.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

Corporate Records and Archives can establish a specific retention schedule for administrative committees and working groups after consulting with the unit responsible. Contact Corporate Records and Archives for more information.

**Secondary Copies**

Transitory. Destroy when no longer needed for reference or convenience.

**Special Instructions**

Digitization: Hard copies may be destroyed when replaced with digitized versions. It is the recommendation of CU-CRA however that past retention records under this category should not be digitized. If the records are reviewed as historically significant, they should be transferred directly to Corporate Archives instead.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**Description**

Consists of records related to legal proceedings and investigations dealt with or submitted to a court of law, administrative tribunal or regulator 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**

Office of the General Counsel  
University Secretary

**Retention Summary**

Retain in unit for 10 years past completion of claim, litigation, or issue.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated operational use.  
*Guide to Retention and Destruction of Closed Client Files for Lawyers*. Law Society of Ontario.

**Filing Notes/Location**

--

**Secondary Copies**

University units subject to the claim, litigation, or issue should contact Corporate Records & Archives prior to the disposition of any records.

**Special Instructions**

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**Description**

Consists of signed contracts or agreements with either (i) a total value that is greater than \$100,001, (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 may include construction contracts, purchase contracts, employment contracts, and gift agreements. May also include documents confirming insurance coverage.

**Office of Primary Responsibility**

University Secretariat  
Units responsible for contract

**Retention Summary**

Retain in Secretariat for 10 years past completion of contract.

**Final Disposition**

P

**Retention Rationale**

Carleton University Signing Authorities Policy (2023)  
Retention based on anticipated operational use.

**Filing Notes/Location**

Per the Signing Authorities Policy, units must deposit signed contracts and agreements that meet threshold for monetary value or risk with the University Secretary upon signing.

**Secondary Copies**

Units that are responsible for contracts should generally retain copies of contracts until superseded or until 1 year after contract has expired or action completed.

**Special Instructions**

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: For contracts and agreements related to Research, see: **RES-07**.  
For proposals related to Research, see: **RES-05**.

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.



**Description**

Consists of records related to the day-to-day administration of university departments and units. These records may include office visit logs, general correspondence, checklists, mailing and shipping records, non-expense related travel records, documentation concerning staff and team meetings, and other general administrative duties.

**Office of Primary Responsibility**

Designated unit

**Retention Summary**

Retain in unit for minimum 1 year from creation unless required longer for operational use.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational use.

**Filing Notes/Location**

--

**Secondary Copies**

Transitory. Destroy when no longer needed for reference or convenience.

**Special Instructions**

Digitization: --

See also:

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**Description**

Consists of records created by executive personnel of the university: President, Vice-Presidents, Deans, and other designated associate vice-presidents. Records may include correspondence (hard copy and email), reports, directives, correspondence, and critical decision-making documentation.

**Office of Primary Responsibility**

Office of the President  
Office of the Provost and Vice-President (Academic)  
Office of the Vice-President (Finance and Administration)  
Office of the Vice-President (Students and Enrolment)  
Office of the Vice-President (Research and International)  
Office of the Dean (All faculties)  
Designated Associate Vice-Presidents

**Retention Summary**

Retain in unit for minimum 5 years, dependent on operational needs, after completion of individual's tenure in executive position.

**Final Disposition**

P

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

--

**Special Instructions**

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**Description**

Consists of records pertaining to and supporting any laws and regulations that govern the university. These records relate to provincial/federal government legislation and regulations. May include meeting and report documentation, drafts, and correspondence.

**Office of Primary Responsibility**

University Secretariat

**Retention Summary**

Retain in unit for 2 years after superseded.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational use.

**Filing Notes/Location**

--

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**ADM-09**

**Leases**

**ADMINISTRATION**

**2017-06**

**Description**

Consists of records related 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. Does not include real estate or construction contracts.

**Office of Primary Responsibility**

University Secretariat  
Units responsible for leases

**Retention Summary**

Retain in unit for length of lease or agreement plus 10 years after termination.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational use.

**Filing Notes/Location**

--

**Secondary Copies**

Involved units should contact the University Secretariat before disposing of any records.

**Special Instructions**

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**ADM-10**

**Legal Opinions**

**ADMINISTRATION**

**2017-06**

**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**

Office of the General Counsel

**Retention Summary**

Retain in unit for 5 years after closure of file or settlement of issue.

**Final Disposition**

P

**Retention Rationale**

Retention based on anticipated operational use.

*Guide to Retention and Destruction of Closed Client Files for Lawyers.* Law Society of Ontario.

**Filing Notes/Location**

--

**Secondary Copies**

Upon completion of retention, units receiving the legal advice should transfer records covered under this rule to Corporate Records and Archives for archival review.

**Special Instructions**

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**ADM-11**

**Planning**

**ADMINISTRATION**

**2017-06**

**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**

Designated unit.

**Retention Summary**

Retain in unit for 5 years after planning implemented or superseded by new planning process.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

Transitory. Destroy when no longer needed for reference or convenience.

**Special Instructions**

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

**Description**

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

**Office of Primary Responsibility**

University Secretary  
Office of the General Counsel

**Retention Summary**

Retain in unit as long as rights, license, and/or authorizations are in effect.

**Final Disposition**

P

**Retention Rationale**

Retention based on life of active record.

**Filing Notes/Location**

--

**Secondary Copies**

Transitory. Destroy when no longer needed for reference or convenience.

**Special Instructions**

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

**Secondary Copies** = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.