

Carleton University Retention Schedule

Section 10

STUDENTS

Records and data in this category document the progression of students' academic work at the university as well as the delivery of student support services, both academic and non-academic. Records in this category cover student admissions, permanent and non-permanent academic records, advising, exchanges and internships, residence and student life services.

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CORPORATE RECORDS & ARCHIVES

Retention Schedule Instructions

Rule No.	Rule Name	SECTION NAME	Implementation Date
Description			
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.			
Office of Primary Responsibility			
Identifies the department, unit, or position that has ultimate responsibility for the creation, management, retention, and disposition of the records covered under the rule.			
Retention Summary			
Summary of the length of time you must retain records in this rule after it is no longer active.			
Final Disposition			
How to dispose of the records once the retention period is finished – Archival Review (AR), Destruction (D), or Transfer to Corporate Archives (P). The key at the bottom of this page is on every rule in CURS.			
Retention Rationale			
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.			
Filing Notes/Location			
Additional instructions for retention or disposition or instructions on handling edge cases in the records covered by the rule.			
Secondary Copies			
Instructions for record holders who are not the Office of Primary Responsibility.			
Special Instructions			
<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.

STU-00 Policies, Procedures, & Standards STUDENTS 2023-05

Description

Consists of records relating to the establishment of department or unit policies, procedures and standards that effect student academics or student life at Carleton. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 5 years after superseded.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

Transitory. Destroy when no longer needed for reference of 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.

STU-01 **Reports & Statistics** **STUDENTS** **2023-05**

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to student academics, retention, and student life at Carleton. Does not include external reports and statistics used as reference.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 10 years from creation.

Final Disposition

AR

Corporate Records and Archives may select materials for permanent preservation.

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: --

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.

STU-02 Projects & Project Management STUDENTS 2023-05

Description

Records made, received, or used by units in support of student-centered 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 7 years from last action.

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.

STU-03 **Committees** **STUDENTS** **2023-05**

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with duties related to student academics or student life at Carleton.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR

Corporate Records and Archives may select materials for permanent preservation.

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: --

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 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 honors, and Carleton transcripts and degree conferrals.

Office of Primary Responsibility

Registrar's Office

Retention Summary

Identified records must be retained permanently in order to maintain an accurate academic history of each student.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

Units with copies of materials for which the Registrar's Office maintains must securely destroy the records when no longer required.

Special Instructions

Digitization: Hard copy student records are replaced by digital version. Original hard copy securely destroyed.

See also: For *Faculty/Department Student Files*, see **STU-19**.

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.

STU-06	Student Applicants – Unsuccessful/No Registration	STUDENTS	2024-05
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Description

Consists of records of admission applications to Carleton University programs of individuals that were unsuccessful, withdrawn or incomplete, or of individuals who were accepted but declined to register. Records may include applications, supporting documentation, portfolio materials, and standardized test scores, final decisions of admission committees, appeals, and correspondence.

Office of Primary Responsibility

Registrar’s Office – Admission Services

Retention Summary

Retain for 1 year after admissions record becomes inactive.

Final Disposition

Secure destruction

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Analog files received for the admission process are digitized but retained on the same retention schedule.

Secondary Copies

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Special Instructions

Digitization: --

See also: For *Academic Records*, see: **STU-04**.
For *Student Applicants – Successful*, see **STU-07**.

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.

STU-07	Discipline	STUDENTS	2017-05
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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, and interview notes, hearing documents, security reports, decisions, agreements, appeals documentation, correspondence and related documentation.

Office of Primary Responsibility

Office of the Vice President (Students and Enrolment)

Retention Summary

Retain for 7 years after graduation of student.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

University Secretary and the Director of Student Affairs are involved with the process of enforcing and appealing the non-academic code of behavioural contact, including campus trespass bans.

Special Instructions

Digitization: --

See also: For *Trespass Notices and Appeal Records*, see: **CAM-14**.

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.

STU-08 Financial Assistance (Students) STUDENTS 2017-05

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

Retention Summary

Retain in unit for 7 years from last action.

Final Disposition

D

Retention Rationale

Retention based on current operational need.

Filing Notes/Location

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Secondary Copies

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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.

STU-09 **Internships** **STUDENTS** **2017-05**

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

Retention Summary

Retain in unit minimum 7 years from creation.

Final Disposition

AR

Corporate Records & Archives may select certain administrative materials for permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

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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.

STU-10	Recruitment (Students)	STUDENTS	2017-05
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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
Unit responsible for recruitment efforts

Retention Summary

Retain in unit minimum 7 years from creation.

Final Disposition

AR

Corporate Records & Archives may select certain recruitment and promotional materials for permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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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.

STU-11 Accommodations (Access/Disabilities) STUDENTS 2017-05

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

Retention Summary

Retain 10 years after file closed.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

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Secondary Copies

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Special Instructions

Digitization: --

See also: For *Library Accessibility Services*, see: **INF-21**.

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.

STU-12 Advising (Students) STUDENTS 2023-05

Description

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, care reports and records related to care reports, student complaints, dispute resolution, training and social activities.

Office of Primary Responsibility

Student Services
Unit responsible for service delivery

Retention Summary

Retain in unit for 5 years from last action on file.

Final Disposition

D

Retention Rationale

--

Filing Notes/Location

Student advising records are defined by function and not record location or format. These records may take the form of emails, hard copy correspondence and records, notes, electronic or digitized materials, chat or messaging records, database records, and voicemails.

Secondary Copies

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Special Instructions

Digitization: Hard copy records 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.

STU-13 Employment and Careers (Students) STUDENTS 2017-05

Description

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

Office of Primary Responsibility

Carleton University Co-op
Carleton University Career Services
Unit responsible for service delivery

Retention Summary

Retain in unit for 5 years from last action on file.

Final Disposition

D

Retention Rationale

Retention based on current operational need.

Filing Notes/Location

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Secondary Copies

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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.

STU-14	Exchange Students	STUDENTS	2017-05
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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

Retention Summary

Retain in unit for 10 years from end of program.

Final Disposition

AR

Corporate Records & Archives may select materials for permanent preservation prior to destruction.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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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.

STU-15 **International Students** **STUDENTS** **2017-05**

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
Unit responsible for service delivery

Retention Summary

Retain in unit for 5 years from last action on file.

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.

STU-16 **Diversity & Inclusion** **STUDENTS** **2017-05**

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 and Inclusive Communities

Retention Summary

Retain in unit for 5 years from file closure.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational need.

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.

STU-17	Orientation (Students)	STUDENTS	2017-05
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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 delivery of event or creation of materials

Retention Summary

Retain in unit minimum 5 years from event or creation of materials.

Final Disposition

AR

Corporate Records & Archives may select materials for permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Communications*, see: **COM-09**.

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 that document the university's interaction with undergraduate and graduate student associations on campus, student governments and other student organizations. Records may include correspondence, budget and event reports, reports and surveys by or on the student body of the department, and documentation concerning group membership and use of university space for student group use.

Office of Primary Responsibility

Unit responsible for interacting with student group.

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR

Corporate Archives may select specific records for permanent preservation.

Retention Rationale

Retention based on anticipated operational need.

Filing Notes/Location

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Secondary Copies

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Special Instructions

Digitization: --

See also: Banking records collected or retained on behalf of student groups should follow retention scheduling for *Banking – FIN-08 (Financial Management)*.

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.

STU-19 **Faculty/Department Student Files** **STUDENTS** **2023-05**

Description

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

Office of Primary Responsibility

Academic department or school responsible for the student.

Retention Summary

Retention and disposal procedures currently under review. Please contact Corporate Records & Archives for more information.

Final Disposition

D

Retention Rationale

Retention based on current operational need.

Filing Notes/Location

Permanent academic student records are maintained by the Registrar's Office.

Secondary Copies

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Special Instructions

Digitization: Hard copy records that are near disposal period not recommended for replacement by digitized copies. Contact Corporate Records & Archives for more information.

See also: For the permanent *Academic Record*, see: **STU-04**.

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.