

Carleton University Retention Schedule

Section 3

COMMUNICATIONS, ADVANCEMENT & COMMUNITY ENGAGEMENT

Records and data in this category document materials created and used as part of the university's internal and external communications, public relations, and community engagement and service efforts. Records under this category include communication and public relations efforts from all units across the university (not just exclusive to Department of University Communications), alumni and donor stewardship, special and major events of the university.

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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Retention Summary Summary of the length of time you must retain records in this rule after it is no longer active.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.

Description

Records relating to the establishment of department or unit administrative policies, procedures and standards dealing with communications or community engagement, including alumni development and relations, special events and exhibits, convocation, and installation ceremonies. Records are associated with the development of decisions, directions, and precedents. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

Does not include university-wide or Senate policies. See GOV-00 for university-wide or Senate policies.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years after superseded or discontinued.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Records created external to the university and gathered in support of the creation of the procedures, policy, or standards are transitory and may be destroyed once no longer needed for convenience.

Secondary Copies

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

Special Instructions

Digitization: Hard copy records may be replaced by digital or born-digital final versions.

See also: For university-wide or Senate policies, see: GOV-00.

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.

COM-01 **Reports & Statistics** **Communications, Advancement & Community Engagement** **2023-05**

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to university or department communications and community engagement. 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 – Contact Corporate Records and Archives for archival review and confirmation of final disposition.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may sample reports of significant historical value for permanent archiving, such as final reports on major capital campaigns.

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.

COM-02 ***Project & Program Management*** **Communications, Advancement, & Community Engagement** **2023-05**

Description

Records made, received, or used by units in support of their programs, functions, activities, and operations, specific to communication or engagement campaigns. 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 completion of project.

Final Disposition

AR/D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may sample project files of significant historical value for permanent archiving.

Secondary Copies

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

Special Instructions

Digitization: --

See also: For *Advancement Campaigns*, see: **COM-04**.
 For *Cultural and Special Events*, see: **COM-12**.

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.

COM-03

Committees

Communications, Advancement, &
Community Engagement

2023-05

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with communication or community engagement projects, programs, and issues for departments and units.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR/D

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: --

See also:

For *Throwback Committee*, see: COM-03-CRR-01

For *Alumni Association*, see: COM-03-CRR-02

For *CU US Foundation Committee*, see: COM-03-CRR-03

For *Advancement and University Relations Committee (Board of Governors)*, see: GOV-06.

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.

**COM-03-
CRR-01** **Throwback Committee** **Communications, Advancement &
Community Engagement** **2024-11**

Description

Records documenting efforts of the Throwback committee for central planning, administration, and communications for annual Throwback celebrations. Includes communication materials, minutes, agendas, and correspondence of significance.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum of 5 years.

Final Disposition

AR / D (Selective retention by Corporate Records and Archives)

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may sample Throwback promotional materials of significance for permanent archiving.

PIB

No

Secondary Copies

Transitory. Destroy when no longer needed.

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.

**COM-03-
CRR-02** **Carleton University Alumni
Association** **Communications, Advancement
& Community Engagement** **2024-11**

Description

Consists of records documenting the work and organization of the Carleton University Alumni Association. May include agendas, minutes, working documents and reports, member information, correspondence of significance, and alumni chapter organization.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum 5 years.

Final Disposition

AR / D (Selective retention by Corporate Records and Archives)

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may sample CUAA materials of significance for permanent archiving, specifically final minutes, correspondence of significance, and reports of significance.

PIB

No

Secondary Copies

Transitory. Destroy when no longer needed.

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.

**COM-03-
CRR-03** **Carleton University US
Foundation** **Communications, Advancement &
Community Engagement** **2024-11**

Description

Consists of records documenting the work and organization of the Carleton University U.S. Foundation. Records may include bank statements, receipts, account summaries from investment groups, change of agent documentation, minutes and agenda from the board meetings, and financial statement.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for 7 years from fiscal year of creation.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Carleton University US Foundation will be discontinued in the near future, date to be determined. This rule will be discontinued when remaining records under it have reached end of retention.

PIB

No

Secondary Copies

Transitory. Destroy when no longer needed.

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 related to programs and activities of ongoing, special, or planned giving fundraising campaigns, direct mail, scholarship development, telefundraising, and programming, or events. Records may include prospect research, donor proposals, feasibility studies, appeals, communications, and reports of university funding priorities.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum 10 years from completion of campaign.

Final Disposition

AR / D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may select advancement campaign materials for permanent archiving.

Secondary Copies

Secondary copies may exist in various academic departments and Athletics. Copies of advancement efforts in supported departments should be retained as operationally needed. Records detailing alumni and their contact information must follow retention and disposition of COM-06.

Special Instructions

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

See also: For financial records related to donors, see: *Accounts Receivable*, **FIN-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 information about donors and potential donors, their activities, and their relationship with the university. Records may include demographic and contact information, relationship management, personalized stewardship reports, stewardship and recognition plans, named spaces documentation, news items, copies of wills and estate-related documentation, pledge/donation records, gift agreements, gift-in-kind agreements, endowment documentation, and correspondence.

Does not include copies of receipts, payment information, and other financial interaction documentation.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for duration of operational need, unless otherwise dictated by individual donors. See filing notes for further instructions.

Final Disposition

AR (Selective retention by Corporate Records and Archives, see filing note).

Retention Rationale

Freedom of Information and Protection of Privacy Act, RSO, 1990, c. F31, s. 2 (2)

Filing Notes/Location

1. Gift agreements that meet thresholds established in the University's Signing Authorities Policy must also be filed with the University Secretariat. See ADM-05 for more information.
2. Donor stewardship records should be reviewed regularly after a 10-year period of inactivity to assess operational need.
3. Once deemed past retention by Department of University Advancement, Corporate Records and Archives may select donor records that document a donor's biographical information, descriptions of their relationship with Carleton, photographs, correspondence of significance, and a summary or report of their giving to Carleton.
4. Donors may request the destruction of their personal information at any point in time.

Secondary Copies

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Special Instructions

Digitization: --

See also:

For financial records related to donors, see: *Accounts Receivable*, **FIN-05**.

For *Contracts and Agreements*, see: **ADM-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.

COM-06 **Prospect Research and Management** **Communications, Advancement & Community Engagement** **2024-11**

Description

Consists of records related to information about donors and potential donors, their activities, and their relationship with the university. Records may include research profiles, wealth ratings, briefing notes, prospect and potential prospect list, and other research findings.

Office of Primary Responsibility

University Advancement – Prospect Research and Management

Retention Summary

Retain in unit for minimum of 10 years after calendar year of creation or for length of relationship with the donor or prospect, unless otherwise dictated by individual donors. Records with ongoing operational need upon completion of retention may be retained longer. Records assessed as no longer operationally viable should be disposed of.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.
Freedom of Information and Protection of Privacy Act, RSO 1990, C. F31, s. 2 (2)

Filing Notes/Location

Donors may request the destruction of their personal information at any point in time.

PIB

Yes

Secondary Copies

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Special Instructions

Digitization: --

See also: For financial records related to donors, *Accounts Receivable*, see: **FIN-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.

Description

Consists of records detailing Carleton University alumni and their contact information, not including student records containing permanent information on university graduates. May consist of reports, lists, records, forms, permission forms and waivers, and correspondence.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit until superseded. When requested by alumni, individuals must be removed from contact lists.

Final Disposition

Superseded lists – D

Retention Rationale

Freedom of Information and Protection of Privacy Act, s. 38 (2), 41 (1), 42 (1).
Carleton University Advancement Data Policy

Filing Notes/Location

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Secondary Copies

Alumni lists and contacts used by university departments must be updated regularly with the Director of Alumni Services and according to the university's Advancement Data Policy. Delete after superseded with information from University Advancement.

Special Instructions

Digitization: –

See also: *Carleton University Advancement Policy*

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 detailing alumni, alumni chapters, benefit programs, affinity programs and mentorship programs, their activities, and their relationship with the university. Records may include demographic and current contact information, relationship management, news items and newsletters, correspondence, and program planning and promotional documentation for regular and special events as athletic activities and groups (e.g. Old Crows, Bald Ravens, subject or regional-specific alumni chapters, etc.)

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum of 5 years after last operational use.

Final Disposition

AR. Corporate Records and Archives will select specific materials for permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Records may include historically significant materials to transfer to Corporate Archives: samples of event planning documentation, newsletters, promotional materials, and other audio-visual and graphic materials.

PIB

No

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.

Description

Consists of records related to information about managing fundraising activities and strategy. Records may include portfolio management (portfolio reviews), fundraiser metrics and reports. Does not include performance evaluations for fundraising employees.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum of 10 years from date of creation, dependent on operational use.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

PIB

No

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.

COM-10

Memorabilia

Communications, Advancement &
Community Engagement

2024-11

Description

Consists of commemorative publications, objects, photography, audio-visual, textiles, and graphic materials representative of the university, its students, staff, faculty, and community members.

Office of Primary Responsibility

Unit responsible for creation of commemorative materials or memorabilia.

Retention Summary

Retain in unit for minimum 1 year from creation.

Final Disposition

D / AR. (Selective permanent preservation by Corporate Records and Archives)

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

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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.

COM-11

Communications

**Communications, Advancement, &
Community Engagement**

2024-11

Description

Consists of advertising announcements, reports, brochures, audio-visual recordings, media reports, newsletters, newspapers, internal announcements, photographs, posters, web pages and websites, Carleton publications, speeches, presentations, and addresses. Records may also include planning documentation, design, budget, and correspondence.

Office of Primary Responsibility

Unit responsible for communications
Department of University Communications

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

D / AR. (Selective permanent preservation by Corporate Records and Archives)

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Departments may establish retention and disposition requirements of specific communications materials. Contact Corporate Records and Archives for more information.

Secondary Copies

Communication materials created by Department of University Communications on behalf of another unit is the retention and disposition responsibility of said requesting unit.

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 detailing Carleton's relationship to the public, municipal, provincial, federal, and other governments, external agencies, organizations, and with the media. May include new releases, speeches, interviews, correspondence, media clips, and articles.

Office of Primary Responsibility

Unit responsible for communication

Retention Summary

Retain in unit for minimum 3 years after calendar year of creation or for length of project.

Final Disposition

AR. Corporate Records and Archives must review records for potential permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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

Special Instructions

Digitization: --

See also: For *Executive Files and Correspondence*, see: **ADM-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.

Description

Consists of records detailing planning and executive of cultural and special events for the university, including university and department anniversaries, Throwback, gallery events, exhibitions, speaker series, presentations, conferences, and concerts. May include planning documentation, graphic materials, audio-visual recordings, photographs, speeches, interviews, and correspondence of significance.

Office of Primary Responsibility

Unit responsible for event.

Retention Summary

Retain unit for minimum 3 years from event.

Final Disposition

AR. Corporate Records and Archives must review records for potential 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.

COM-14 ***Convocation and Installation Ceremonies*** **Communications, Advancement & Community Engagement** **2024-11**

Description

Consists of records detailing biannual or special convocations as well as installation ceremonies for the university president or chancellor. May include planning documentation, graphic materials, audio-visual recordings, speeches, interviews, and correspondence of significance. Also includes ceremonial objects used for convocation or installation.

Office of Primary Responsibility

Office of the President
Office of the Vice-President (Students and Enrolment)
University Secretariat
Department of University Communications
Individual units holding convocation related events.

Retention Summary

Retain in unit as operationally needed, minimum 3 years.

Final Disposition

AR (Selective permanent retention by Corporate Records and Archives).

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: --

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.

COM-15

Academic Calendar

**Communications, Advancement, &
Community Engagement**

2017-06

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's Office

Retention Summary

Retain in unit for 5 years from creation.

Calendar should be deposited annually with Corporate Records and Archives.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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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.