

Carleton University Retention Schedule

Section 6

GOVERNANCE

Records and data in this category document the actions and obligations of the university's main governing bodies, the Board of Governors, the Senate, and the committees serving under and reporting to those bodies.

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CORPORATE RECORDS & ARCHIVES

Retention Schedule Instructions

Rule No.	Rule Name	SECTION NAME	Implementation Date
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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Summary of the length of time you must retain records in this rule after it is no longer active.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

Digitization: Any instructions related to the digitization of hard copy records.

See also: 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

Consists of records relating to the establishment of university-wide or operational policies, procedures, and standards. Records may include policy proposals, surveys, correspondence, consultations, reports, final policy documents, and documentation on the management of university policies.

Office of Primary Responsibility

- University Secretariat
- Unit responsible for management of policy

Retention Summary

1. University Secretariat retains policy versions permanently.
2. Unit responsible for management of policy retains for minimum of 5 years after policy is superseded or determined obsolete.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

Policies and standards retained for reference by other units may be destroyed once no longer needed.

Special Instructions

Digitization: --

See also: Retention of department-level policies and procedures is determined by the function of the policy. Contact Corporate Records and Archives for more information.

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 university governance and operations. Does not include external reports and statistics used as reference.

Office of Primary Responsibility

- Designated unit
- Office of Institutional Research and Planning

Retention Summary

Retain in unit for 10 years after creation.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

The Office of Institutional Research and Planning (OIRP) is responsible for the management of original data and records supporting that data in the OIRP. Any reports prepared by OIRP at the request of other units are the retention and disposition responsibility of the requesting unit.

Secondary Copies

Reports and statistics retained as reference by other units may be destroyed once no longer needed.

Special Instructions

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

See also: Retention of reports and statistics may vary based on function of the information. Contact Corporate Records and Archives for more information.

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 governance bodies to manage major projects. 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 after creation.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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

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

Records documenting the proceedings and actions of ad hoc committees, working groups, or task forces assigned duties pertaining to university governance, but which are not existing Board of Governors or Senate committees. Recorded information may include agendas, minutes, correspondence, reports, presentations, surveys, and working documentation.

Office of Primary Responsibility

Designated unit responsible for committee, task force, or working groups.

Retention Summary

Retain in unit for minimum of 5 years from creation.

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

Committee documentation held as reference by committee members or other units may be destroyed when no longer needed. Committee chairs are responsible for supporting and/or delegating records management of committee materials.

Special Instructions

Digitization: --

See also: *Senior Executive Search Committees – GOV-09*
 Pension Management Committee – GOV-10
 Investment Committee – GOV-11

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 and other materials documenting the administration and management of the Carleton University Act, the university's by-laws, corporate seal, and the delegation of authority and signing authorities in support of governance of the university.

Office of Primary Responsibility

University Secretariat

Retention Summary

Retain in unit for minimum of 5 years after superseded or obsolete.

Final Disposition

AR

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.

Description

Records related to proceedings and actions of Carleton University's Board of Governors, including the governance, conduct, management and control of the University and its property, revenues, expenditures, business, and affairs. Records may include agenda packages, minutes, reports, working papers, presentations, related documentation, and correspondence.

Office of Primary Responsibility

University Secretariat

Retention Summary

Retain in unit for minimum of 3 years from creation.

Final Disposition

P - Records must be transferred to Corporate Archives upon final disposition.

Retention Rationale

Carleton University Act

Filing Notes/Location

Recent copies of the minutes of the Board of Governors are available to the public through the Board of Governors' website. Older minutes are available upon request through the University Secretariat.

Secondary Copies

Destroy transitory copies held as reference when no longer needed.

Special Instructions

Digitization: Approved minutes of the Board of Governors are printed, signed and dated by the University Secretary. Digital copies of these approved minutes are indicated as "Final" in PDF format.

See also: *Board of Governors Committees – GOV-06*
 Senate Committees – GOV-08

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.

GOV-06 Board of Governors - Committees GOVERNANCE 2023-05

Description

Records related to the proceedings and actions of the standing committees of the Board of Governors, tasked with the governance, management, and control of the University, its property, revenues, expenditures, business, and affairs. Records may include agenda packages, minutes, reports, working papers, presentations, related documentation, and correspondence.

Office of Primary Responsibility

University Secretariat

Retention Summary

Retain in unit for minimum of 3 years from creation.

Final Disposition

P - Records must be transferred to Corporate Archives upon final disposition.

Retention Rationale

Carleton University Act

Filing Notes/Location

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Secondary Copies

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

Special Instructions

Digitization: Approved minutes of Board of Governors committees are printed, signed and dated by the University Secretary. Digital copies of these approved minutes are indicated as "Final" in PDF format.

See also: *Board of Governors* – **GOV-05**
 Senate Committees – **GOV-08**

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.

GOV-07

Senate

GOVERNANCE

2023-05

Description

Records related to the proceedings and actions of Senate in the delivery of that body's governance of university curriculum, academic standards, program development, faculty/library promotion and tenure, degree granting, awards, admission, educational equity, academic integrity, and accommodations. Records include agenda packages, minutes, reports, working papers, presentations, related documentation, and correspondence.

Office of Primary Responsibility

University Secretariat

Retention Summary

Retain in unit for minimum of 3 years from creation.

Final Disposition

P - Records must be transferred to Corporate Archives upon final disposition.

Retention Rationale

Carleton University Act

Filing Notes/Location

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Secondary Copies

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

Special Instructions

Digitization: Approved minutes of the Senate are identified as "final" in their electronic format.

See also: *Board of Governors* – **GOV-05**
Board of Governors Committees – **GOV-06**
Senate Committees – **GOV-08**

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 related to the proceedings, and actions of the standing 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

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

P - Records must be transferred to Corporate Archives upon final disposition.

Retention Rationale

Carleton University Act

Filing Notes/Location

Each committee is responsible for depositing committee records regularly with the University Secretariat, including an annual report.

Secondary Copies

Committee Chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members, including secure destruction of secondary copies when no longer required.

Special Instructions

Digitization: --

See also: Sub-retention rules exist for each standing committee of Senate. Please contact the Corporate Records and Archives Department for more information.

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 proceedings of competitions for senior executive and senior administration of the university, including Chancellor, President, and Vice-Presidents. Records may include committee protocols and procedures, membership lists, minutes, agendas, job descriptions and postings, evaluation and ranking rubrics, research and reference materials, reports and correspondence from third-party search vendors, interview questions and answers, curriculum vitae and publications, reference letters, and other supporting documentation.

Office of Primary Responsibility

University Secretariat

Retention Summary

Retain in unit for 1 year after confirmation of successful candidate.

Final Disposition

1. Successful candidates – AR (Select records from successful candidates may be incorporated into the incumbent's personnel file held by relevant unit or within the permanent archival holdings of the university).
2. Unsuccessful candidates - D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

Committee chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members, including secure destruction of secondary copies 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

Includes minutes of meetings, documentation of resolutions and motions, correspondence and memoranda documenting major decisions and changes to plans, communications with members, major policies and procedures, and membership documentation.

Office of Primary Responsibility

Office of Pension Fund Management

Retention Summary

Retain in unit for minimum 7 years from creation.

Final Disposition

P – Transfer to Corporate Archives when retention period complete.

Retention Rationale

Canada Pension Plan Act (RSC 1985, c. 8)
Pension Benefits Act (RSO, 1990, c. P. 8)
Management and Retention of Pension Plan Records by the Administrator - A300-200
(Financial Services Commission of Ontario)

Filing Notes/Location

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Secondary Copies

Committee Chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members.

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

Records of minutes of meetings, documentation of resolutions and motions, correspondence and memoranda documenting major decisions and changes to pension investments, communications with members, major policies and procedures.

Office of Primary Responsibility

Office of Pension Fund Management

Retention Summary

Retain in unit for minimum 7 years from creation.

Final Disposition

P – Transfer to Corporate Archives when retention period complete.

Retention Rationale

Canada Pension Plan Act (RSC 1985, c. 8)
Pension Benefits Act (RSO, 1990, c. P. 8)
Management and Retention of Pension Plan Records by the Administrator - A300-200
(Financial Services Commission of Ontario)

Filing Notes/Location

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Secondary Copies

Committee Chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members.

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

Records documenting the organization of nominations and delivery of election periods for positions on the University's Board of Governors and Senate; including communication materials, correspondence, and supporting documentation for nominees.

Office of Primary Responsibility

University Secretariat

Retention Summary

1. Records on unsuccessful candidates retained in unit for 1 year after election finalized (successful candidate confirmed to governance body).
2. Records of successful candidates retained in unit for length of term of service.

Final Disposition

1. D – Unsuccessful candidates.
2. P – Successful candidates. Transfer to Corporate Archives upon termination of service.

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.

Description

Consists of records documenting election process for positions on both the University's Board of Governors and Senate. May include ballots, correspondence, reports and summaries of election results.

Office of Primary Responsibility

University Secretariat

Retention Summary

1. Retain ballots and significant correspondence in unit for 1 year after confirmation of election results.
2. Retain summary of election results in unit for 1 year after confirmation of election results.

Final Disposition

1. D – Ballots and correspondence.
2. AR – Summary or report of election results and all other supporting records.

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.

