

CARLETON UNIVERSITY RECORDS RETENTION SCHEDULE

SECTION 1: ADMINISTRATION

VERSION 4.0

UPDATED APRIL 30, 2019



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CONTENTS

Administration	3
ADM-00 - Claims and Litigation	4
ADM-01 - Contracts and Agreements	5
ADM-02 - Departmental Administration	6
ADM-03 - Executive Files and Correspondence	7
ADM-04 - Laws and Regulations	8
ADM-05 - Leases	9
ADM-06 - Legal Opinions	10
ADM-07 - Planning	11
ADM-08 - Policies and Procedures	12
ADM-09 - Project and Program Management	13
ADM-10 - Intellectual Property	14

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

Section 1:

Administration

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ADM-00	CLAIMS & LITIGATION	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records related to legal proceedings and investigations dealt with or submitted to a court of law, administrative tribunal or regulatory agency for or against the institution. Records may include legal correspondence and pleadings, statements, demands, directions, subpoenas and notices to appear, order, transcripts, settlements, discharges, rulings and related correspondence.

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

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

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
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ADM-01	CONTRACTS AND AGREEMENTS	ADMINISTRATION	CURS 2019-04
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DESCRIPTION:
 Consists of signed contracts or agreements with either (i) a total value that is greater than \$100,000, (ii) the total value is less than \$100,001 but the initial term is five years or greater or (iii) potentially expose the University to Significant Risk. Records consist of construction contracts, purchase contracts, employment contracts, and gift agreements. May also include documents confirming insurance coverage.

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

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

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

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ADM-02	DEPARTMENTAL ADMINISTRATION	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records related to the day-to-day administration of university departments and units. These records include office visit logs, general correspondence, checklists, mailing lists and documentation concerning meetings.

OFFICE OF PRIMARY RESPONSIBILITY: Individual units

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

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

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

ADM-03	EXECUTIVE FILES AND CORRESPONDENCE	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records created by any and all executive personnel of the university. These records include those originating from the Office of the President, Vice-Presidents' offices, Dean's offices and executives in academic departments/units and administrative departments/units. These records may include letters, directives, correspondence and critical decision-making documentation.

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

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

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

ADM-04	LAWS AND REGULATIONS	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records pertaining to any and all laws and regulations that govern the university. These records related to provincial/federal governmental legislation, regulations and laws.

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

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

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

ADM-05	LEASES	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to the administration of leases and agreements made between the university and outside organizations. Records may include leases and agreements, copies of deeds and property insurance.

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

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

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
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ADM-06	LEGAL OPINIONS	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records related to advice, opinions and background on matters of a legal concern. Records may include interpretation by internal or external counsel of legislation, regulations, contracts, related documentation and correspondence.

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

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

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

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ADM-07	PLANNING	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records related to a unit's role in developing short or long-term plans, either university-wide or specific to the unit's area of influence. Records may include instructions from university officers, statements of objectives and goals, proposals, surveys, working papers, reports, plans and related documentation.

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

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

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ADM-08	POLICIES AND PROCEDURES	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to the establishment of university or unit policies, procedures and standards. Records are associated with the development of decisions, directions, and precedents that act as a reference for future decision-making and as a basis from which the university or unit's operating procedures are determined. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures and administrative practices.

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

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

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ADM-09	PROJECT AND PROGRAM MANAGEMENT	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records made, received or used by units in support of their programs, functions, activities and operations. Records may include correspondence and memoranda, organizational charts, delegation of authority, studies, forms, transaction records, work orders, manuals, briefing and issue notes.

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

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

T = Trigger (Refer to Retention Trigger Description Column to determine what "triggers" the move from active to inactive storage);
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ADM-10	INTELLECTUAL PROPERTY	ADMINISTRATION	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to copyright for works produced or acquired by the University, to patents where the University holds rights, to establishing legal ownership of trademarks or industrial designs in the University's name. Records may include assignment of rights, licenses, administrative forms, certificates, correspondence.

OFFICE OF PRIMARY RESPONSIBILITY: University Secretariat / General Counsel

# OF YEARS ACTIVE:	T
TRIGGER:	See filing notes.
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	AR

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

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