

# **CARLETON UNIVERSITY RECORDS RETENTION SCHEDULE**

## **SECTION 7: HUMAN RESOURCES**

VERSION 4.0

UPDATED **MARCH 07, 2024**



Corporate  
Archives

CARLETON UNIVERSITY

**CARLETON UNIVERSITY RECORDS RETENTION SCHEDULE**

**VERSION 4.0**

**UPDATED APRIL 30, 2019**

**CONTENTS**

<b>Human Resources.....</b>	<b>3</b>
<b>HUM-00 JOB DESCRIPTIONS .....</b>	<b>4</b>
<b>HUM-01 ANNUAL INCREASES PROCESS.....</b>	<b>5</b>
<b>HUM-02 POSITION ACTIVITIES .....</b>	<b>6</b>
<b>HUM-03 GENDER DOMINANCE BINDERS.....</b>	<b>7</b>
<b>HUM-04 SALARY REVIEW.....</b>	<b>8</b>
<b>HUM-05 PENSION .....</b>	<b>9</b>
<b>HUM-06 DISCIPLINE AND TERMINATION .....</b>	<b>10</b>
<b>HUM-07 ISSUES/COMPLAINTS, GRIEVANCES AND ARBITRATION.....</b>	<b>11</b>
<b>HUM-08 LABOUR RELATIONS – PROFESSIONAL SERVICES/FACULTY.....</b>	<b>12</b>
<b>HUM-09 STAFFING – COMPETITIONS AND RECRUITMENT .....</b>	<b>13</b>
<b>HUM-11 EMPLOYEES – INDIVIDUAL .....</b>	<b>14</b>
<b>HUM-12 LEAVE MANAGEMENT.....</b>	<b>15</b>
<b>HUM-13 PAYROLL .....</b>	<b>16</b>

Section 7:

## Human Resources

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.

<b>HUM-00</b>	<b>JOB DESCRIPTIONS</b>	<b>HUMAN RESOURCES</b>	<b>CURS 2017-06</b>
---------------	-------------------------	------------------------	---------------------

<b>DESCRIPTION:</b> Consists of records relating to the drafting and creation of job descriptions for university positions.
<b>NOTE: Faculty and Librarians should refer to Appendix A: Retention and Disposal of Faculty Personnel Records and all questions should be referred to the Office of the Provost and Vice-President (Academic).</b>

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
	Office of the Provost and Vice-President (Academic)

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until superseded.
<b># OF YEARS INACTIVE:</b>	3
<b>FINAL DISPOSITION:</b>	D

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	Working job descriptions and backups should be kept for 7 years and then securely disposed.

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.

<b>HUM-01</b>	<b>ANNUAL INCREASES PROCESS</b>	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	---------------------------------	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records relating to the annual increases process for employees.
<b>NOTE:</b> Faculty and Librarians should refer to Appendix A: <i>Retention and Disposal of Faculty Personnel Records</i> and all questions should be referred to the Office of the Provost and Vice-President (Academic).

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
	Office of the Provost and Vice-President (Academic)

<b># OF YEARS ACTIVE:</b>	7
<b>TRIGGER:</b>	
<b># OF YEARS INACTIVE:</b>	0
<b>FINAL DISPOSITION:</b>	P

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	CUPE and Admin Tech step increases should be kept for 3 years and then securely disposed.

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.

<b>HUM-02</b>	<b>POSITION ACTIVITIES</b>	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	----------------------------	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records concerning position activity forms that are used in exchange with Finance to confirm the funding for a specific position.
--

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
--	-----------------

<b># OF YEARS ACTIVE:</b>	3
<b>TRIGGER:</b>	
<b># OF YEARS INACTIVE:</b>	0
<b>FINAL DISPOSITION:</b>	D

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	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.

<b>HUM-03</b>	<b>GENDER DOMINANCE BINDERS</b>	<b>HUMAN RESOURCES</b>	<b>CURS 2017-06</b>
---------------	---------------------------------	------------------------	---------------------

<b>DESCRIPTION:</b> Consists of records related to codes attached to a job with a brief content description that helps to determine the gender dominance position of males or females in the university work force.
--

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
--	-----------------

<b># OF YEARS ACTIVE:</b>	1
<b>TRIGGER:</b>	
<b># OF YEARS INACTIVE:</b>	0
<b>FINAL DISPOSITION:</b>	P

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	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.

<b>HUM-04</b>	<b>SALARY REVIEW</b>	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	----------------------	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records relating to the administration of salary and wage matters. Records may include rates of pay, deductions, regulations, schedules, and standards for payment of wages.
<b>NOTE: Faculty and Librarians should refer to Appendix A: <i>Retention and Disposal of Faculty Personnel Records</i> and all questions should be referred to the Office of the Provost and Vice-President (Academic).</b>

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
	Office of the Provost and Vice-President (Academic)

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until end of calendar year.
<b># OF YEARS INACTIVE:</b>	0
<b>FINAL DISPOSITION:</b>	P

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	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.



<b>HUM-05</b>	<b>PENSION</b>	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	----------------	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records relating to pension settlements and payments, concerning employees of the University. Records may include pensioner files, termination statements, refund statements and adjustment records.
---

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Finance and Administration – Pension Fund Management
--	--

<b># OF YEARS ACTIVE:</b>	0
<b>TRIGGER:</b>	
<b># OF YEARS INACTIVE:</b>	0
<b>FINAL DISPOSITION:</b>	P

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	Dispose of transitory records when operational use ceases, or they are superseded or become obsolete.

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.

<b>HUM-06</b>	<b>DISCIPLINE AND TERMINATION</b>	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	-----------------------------------	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records relating to the administration of disciplinary actions or termination of an employee, as well as case files regarding such actions.
<b>NOTE: Faculty and Librarians should refer to Appendix A: <i>Retention and Disposal of Faculty Personnel Records</i> and all questions should be referred to the Office of the Provost and Vice-President (Academic).</b>

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
	Office of the Provost and Vice-President (Academic)

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until superseded.
<b># OF YEARS INACTIVE:</b>	3
<b>FINAL DISPOSITION:</b>	P

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	These records include those related to professional services, faculty/librarians, contract instructors, and teaching assistants.

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.

<b>HUM-07</b>	<b>ISSUES/COMPLAINTS, GRIEVANCES AND ARBITRATION</b>	<b>HUMAN RESOURCES</b>	<b>CURS 2017-06</b>
---------------	--	------------------------	---------------------

<b>DESCRIPTION:</b> Consists of records relating to policies, methods, and procedures for handling grievances and complaints of employees, as well as individual case files, human rights complaints, and classification appeals. Records may include grievance files, arbitration files, complaints, and related correspondence.
--

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
--	-----------------

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until end of calendar year.
<b># OF YEARS INACTIVE:</b>	3
<b>FINAL DISPOSITION:</b>	P

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	Individual case files may be grouped by employee category. These records include those related to professional services, faculty/librarians, teaching assistants, and casual employees.

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.

<b>HUM-08</b>	LABOUR RELATIONS – PROFESSIONAL SERVICES/FACULTY	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	--	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records relating to the relationships between management and faculty/librarians including agreements, memorandum of agreement files, newsletters, and union leave requests/approvals.
--

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
--	-----------------

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until end of calendar year.
<b># OF YEARS INACTIVE:</b>	0
<b>FINAL DISPOSITION:</b>	P

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	Union leave records are maintained for 2 years and then securely disposed.

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.

<b>HUM-09</b>	<b>STAFFING – COMPETITIONS AND RECRUITMENT</b>	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	--	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records relating to competitions and recruitment for professional services staff, faculty and librarians. Records may include email correspondence, interview schedule and questions, accepted/rejected offers and interview panel notes.
--

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
	Office of the Provost and Vice-President (Academics)

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until end of calendar year.
<b># OF YEARS INACTIVE:</b>	2
<b>FINAL DISPOSITION:</b>	D

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	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.

<b>HUM-11</b>	<b>EMPLOYEES – INDIVIDUAL</b>	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	-------------------------------	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records relating to individuals in all employee categories. Records may include signed letters of offer, renewals, awards, organizational assignment information, personal information, leave requests and performance appraisals.
<b>NOTE: Faculty and Librarians should refer to Appendix A: <i>Retention and Disposal of Faculty Personnel Records</i> and all questions should be referred to the Office of the Provost and Vice-President (Academic).</b>

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
	Office of the Provost and Vice-President (Academic)

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until end of term/contract
<b># OF YEARS INACTIVE:</b>	7
<b>FINAL DISPOSITION:</b>	<b>ON HOLD PENDING REVIEW. Contact Corporate Records and Archives for further instructions.</b>

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
	Collective agreement between Carleton University and Carleton University Academic Staff Association.
<b>FILING NOTES:</b>	Files for TAs and casual hires should be kept for 7 years and then destroyed.

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.

<b>HUM-12</b>	<b>LEAVE MANAGEMENT</b>	<b>HUMAN RESOURCES</b>	CURS 2017-06
---------------	-------------------------	------------------------	--------------

<b>DESCRIPTION:</b> Consists of records relating to attendance. Records may include attendance reports, seniority calculations, vacation, designated paid holidays and special types of leaves.
--

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
--	-----------------

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until end of calendar year.
<b># OF YEARS INACTIVE:</b>	6
<b>FINAL DISPOSITION:</b>	D

<b>RETENTION RATIONALE:</b>	Retention based on anticipated operational use.
<b>FILING NOTES:</b>	

**Retention scheduling for department/unit copies of payroll records is currently under review. Hold records pending completion of review.**

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.

<b>HUM-13</b>	<b>PAYROLL</b>	<b>HUMAN RESOURCES</b>	<b>CURS 2017-06</b>
---------------	----------------	------------------------	---------------------

<b>DESCRIPTION:</b> Consists of records relating to payroll management and to payments made by the University. Records may include payroll registers, wage documents, benefit files and all other payments to employees at the University.
---

<b>OFFICE OF PRIMARY RESPONSIBILITY:</b>	Human Resources
--	-----------------

<b># OF YEARS ACTIVE:</b>	T
<b>TRIGGER:</b>	Until end of calendar year.
<b># OF YEARS INACTIVE:</b>	6
<b>FINAL DISPOSITION:</b>	D

<b>RETENTION RATIONALE:</b>	Income Tax Act (R.S.C., 1985, c.1)
<b>FILING NOTES:</b>	

**Retention scheduling for department/unit copies of payroll records is currently under review.  
Hold records pending completion of review.**

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.