

CARLETON UNIVERSITY RECORDS RETENTION SCHEDULE

SECTION 8: INFORMATION MANAGEMENT AND TECHNOLOGY

VERSION 4.0

UPDATED APRIL 30, 2019



Corporate
Archives

CARLETON UNIVERSITY

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VERSION 4.0
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Section 8:

Information Management and Technology

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.

INF-00 ACCESS AND PRIVACY	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to access to information requests made under the Freedom of Information and Protection of Privacy Act (FIPPA) and complaints regarding privacy breaches. Records may include access request forms, acknowledgement letters, third party notices, fee estimates, access recommendations, record search worksheets, research agreements, notice and confirmation of appeal and written representations.

OFFICE OF PRIMARY RESPONSIBILITY: Office of the General Counsel – Privacy Office

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on operational use.
	Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F. 31, Regulation 459
FILING NOTES:	Informal requests should be retained for 1 year after last action.

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.

INF-01	ARCHIVES	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records that have been assessed by the Archives (Corporate Archives or Archives and Research Collection) that have been appraised, assessed and entered into the formal collection. These records have enduring value for the University.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat – Corporate Archives
	MacOdrum Library – Archives and Research Collection

# OF YEARS ACTIVE:	0
TRIGGER:	
# OF YEARS INACTIVE:	0
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
	Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F. 31, Regulation 459
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.

INF-02 COPY AND PRINTING	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to the provision of printing and digitizing services. Records may include work orders, inventories, and correspondence.

OFFICE OF PRIMARY RESPONSIBILITY:	Unit responsible for requesting the service.
	Print Shop

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# 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);
 P = Permanent Retention
 D = Destruction
 AR = Archival Review Required.

INF-03 HARDWARE	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to maintenance and repairs of computing equipment and supplies, including all desktops, laptops, and their peripherals. Records may include user guidelines, operation manuals, maintenance and repair log books, warranties, maintenance contracts and service agreements.

OFFICE OF PRIMARY RESPONSIBILITY:	Applicable unit
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# OF YEARS ACTIVE:	T
TRIGGER:	Until disposal of asset
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	When entering Final Disposition, all information contained on any electronic drives should be disposed of properly and securely.
	See ADM-01 for retention guidance on any contracts or agreements relating to Hardware purchases.

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.

INF-04 INFORMATION GOVERNANCE	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to the establishment of the information technology and collections management policies, procedures and standards. Records are associated with the development of decisions, directions, and precedents that act as a reference for future decision-making. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures and administrative practices.

OFFICE OF PRIMARY RESPONSIBILITY:	Information Technology Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until superseded.
# OF YEARS INACTIVE:	5
FINAL DISPOSITION:	P

RETENTION RATIONALE:	Retention based on 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.

INF-05	LIBRARY COLLECTIONS MANAGEMENT	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to the management of holdings including accessioning and cataloguing, preservation and bibliographic maintenance. Records may include cataloguing standards, inventory lists of library resources and guides.

OFFICE OF PRIMARY RESPONSIBILITY:	MacOdrum Library
	Departmental Resource Centre

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action/superseded.
# OF YEARS INACTIVE:	2
FINAL DISPOSITION:	D

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	See ADM-01 for any contracts or agreements related to collections management.

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.

INF-06	RECORDS AND INFORMATION	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to the records management of University information. Records may include records classifications, retention schedules, policies and guidelines.

OFFICE OF PRIMARY RESPONSIBILITY:	University Secretariat – Corporate Archives
	Units

# OF YEARS ACTIVE:	T
TRIGGER:	Until last action.
# OF YEARS INACTIVE:	3
FINAL DISPOSITION:	AR

RETENTION RATIONALE:	Retention based on anticipated operational use.
FILING NOTES:	Various units have policies and guidelines that complement the Carleton University Records Retention Schedule. These records should follow the guidance in INF-06.
	A copy of policies and guidelines from various units should be sent to Corporate Archives for reference.

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.

INF-07 ENTERPRISE APPLICATIONS	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to applications that facilitate the operational and supporting processes of the University. These are large-scale university-wide applications that may be developed in-house or in conjunction with vendors. Examples include finance, human resources, payroll, course management, classroom equipment booking, library catalogue, parking and temperature control systems. Records may include project charters, service level agreements, and sign-off documents.

OFFICE OF PRIMARY RESPONSIBILITY:	Responsible Unit.
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# OF YEARS ACTIVE:	T
TRIGGER:	Until disposal of asset.
# 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);
 P = Permanent Retention
 D = Destruction
 AR = Archival Review Required.

INF-08	TELECOMMUNICATIONS AND NETWORKS	INFORMATION MANAGEMENT AND TECHNOLOGY	CURS 2017-06
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DESCRIPTION:
 Consists of records relating to networked and telecommunications systems. Records may include project charters, specifications, system architecture, and sign-off documents.

OFFICE OF PRIMARY RESPONSIBILITY:	Information Technology Services
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# OF YEARS ACTIVE:	T
TRIGGER:	Until disposal of asset.
# 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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