

Retention and Disposal of Faculty Personnel Records

Guidelines maintained by

- Faculty Affairs
- Corporate Records and Archives Department

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SCOPE, PURPOSE and DEFINITIONS

Approval Authority

These guidelines were prepared by Faculty Affairs with additional contributions by Corporate Records and Archives. The Academic Research Committee (now VPARC) approved the original guidelines on February 20, 2013. In December 2019, the Advisory Committee on University Records (ACUR) took responsibility for coordinating annual review of these guidelines.

Purpose

1. The purpose of these guidelines is to provide general information for Deans and the University Librarian, Chairs, Directors, Executive Assistants, and Departmental Administrators on the proper retention and disposal of records related to faculty personnel files, including, but not limited to: initial appointment, reappointment, tenure, promotions, leaves of absence, and annual performance reviews. It may also include letters of commendation and/or complaint, routine information on salary and benefits, etc.
2. Should there be any discrepancy between these guidelines and the approved policies and/or Collective Agreement (May 1, 2017-April 30, 2021), the approved policies and Collective Agreement shall be considered the final authority.

Relevant Policies and Guidelines

3. These guidelines must be used in conjunction with all relevant Carleton University policies and procedures, as well as regulations stipulated by the Collective Agreement. These guidelines are also formulated in conjunction with Parts II and III of the *Freedom of Information and Protection of Privacy Act*, and recommendations posted by the Information and Privacy Commissioner of Ontario.
4. [Corporate Records and Archives Policy \(2019\)](#), University Secretariat
5. [Carleton University Retention Schedule](#), Corporate Archives
6. [Transferring Records to the Archives Guidelines](#), Corporate Archives
7. [Access to Information and Privacy Policy \(2019\)](#), University Secretariat
8. [Information Security Policy \(2009\)](#), University Secretariat
9. [Mobile Technology Security Policy \(2019\)](#), University Secretariat
10. [Collective Agreement between Carleton University and CUASA](#)
11. [Human Rights Considerations for the Primary Search File](#), Department of Equity and Inclusive Communities.
12. [Canada Research Chair Secretariat](#)

FIPPA

13. The Information and Privacy Commissioner of Ontario states, "Fair Information practices suggest that personal information should be retained for as long as necessary for the fulfillment of the purposes for which it is collected, but when information is used to make a decision about someone, it should be retained long enough for the individual to be able to access it, and appeal any denial of access. When personal information is no longer needed to fulfill those identified purposes, it should be destroyed, erased, or anonymized according to established guidelines."

14. Paragraph 5(1)(a) of R.R.O. 1990, Reg. 460, a regulation made under the *Freedom of Information and Protection of Privacy Act*, states the following, "An institution that uses personal information shall retain the information for at least one year after use, except if, the individual to whom the information relates to consents to its earlier disposal."

Records Management Definitions

15. Record: recorded information in any form, in all media and formats, including electronic materials and supporting metadata. Electronic records follow the same retention guidelines as hard copies.
16. Final Disposition: final action taken on a record that is past its retention period, including: secure destruction of records no longer required or transfer of records to Corporate Records and Archives.
17. Personnel File: designates all files containing evaluative materials concerning employees.
18. Office of Primary Responsibility: work unit with ultimate responsibility for the retention and management of records: identifying and storing material, adhering to the *Carleton University Retention Schedule*, and ensuring final disposition.
19. Career Decisions: decisions made related to hiring, renewal, tenure, promotion, and the most recent curriculum vitae.
20. The security and appropriate retention of records created by committees is the responsibility of all committee members. Final disposition of materials must be directed by the committee chair or secretary. Committee materials must be securely transferred to the chair or secretary in a timely manner upon completion of tasks. For more information on secure handling of committee materials, contact the Corporate Archives for guidance.

Faculty Personnel File

21. "Faculty" is used throughout this document and it is intended to include files for professors, librarians, and instructors. Honorary and affiliated ranks is understood to include files for: Adjunct Professors, Adjunct Research Professors, Distinguished Research Professors, Professors Emeritus with supervision status, in-residence, and visiting appointments.
22. Parts of the personnel file are kept by the academic unit, University Librarian/Dean's office, Provost's office, and Human Resources. For the purposes of career decisions, including appointment, reappointment, leaves, tenure, promotion, and appeals, the file held by the Provost and Vice-President (Academic) will be considered the final authority.
23. In accordance with Article 16 of the Collective Agreement with CUASA, employees have the right to examine all of his/her personnel file during regular business hours, provided that any confidential letters of recommendation solicited shall be held confidential, except as provided for in Article 16.
24. Formal requests for access to, and correction of, personal information is governed by sections 47, 48 and 49 of the *Freedom of Information and Protection of Privacy Act*. This process is managed by the Carleton University Privacy Office.
25. The use and disclosure of personal information is governed by sections 41 and 42 of the *Freedom of Information and Protection of Privacy Act*. As a general guideline, any information on a business card (name, title/rank) can be released. For other information requested, please check with the Carleton University Privacy Office.
26. As much as possible, additional documents related to a faculty member that are not part of the official personnel file, such as emails and background notes, should be kept in a separate "working file" and destroyed three months following the end of the faculty member's employment.
27. In accordance with Carleton policy, upon the termination of a faculty member's employment, the faculty member's personnel files kept by the academic unit must be reconciled with any file kept by Dean/University Librarian's office. Once the files are reconciled, they must be transferred to the Office of the Provost and Vice-President (Academic) to join the permanent file. It is recommended that these files be transferred to the Provost's office within a maximum of 2 years from the termination of employment.
28. In accordance with the Information Security Policy, the information user (office of primary responsibility) must render unusable any electronic information scheduled for destruction. In accordance with the Corporate Records and Archives Policy, the ultimate responsibility for the retention and disposition of corporate records (including electronic documents) rests with the University Secretary. Questions related to the proper disposal of electronic records should be directed to Corporate Records and Archives.

Faculty Personnel File Documents			
Item	# Years Active	# Years Inactive	Final Disposition
Job description	Until superseded.		Permanent
Position advertisement	Until end of calendar year.	2 years	Permanent
Supporting documentation for application from the employee (including CV, excluding letters of reference); Supporting documentation for the application from the University (including Recruitment and Appointment forms)	Until end of employment.	2 years	Permanent (only the most recent CV should be kept on file and previous copies destroyed)
Letters of reference and appraisal in relation to appointment (Article 16.7) for Letters of Reference in relation to promotion (see Article 16.8)	3 Months after the process concludes	N/A	Secure destruction.
Curriculum Vitae	Until superseded by updated version of CV.	N/A	Permanent (most recent CV must always be kept).
Letters/documentation related to appointment, renewal, non-renewal, resignation and/or retirement*	Until end of employment.	2 years	Permanent
Letters/documentation related to compensation (salary increases, CDIs, awards, etc.)*	Until end of employment.	2 years	Permanent
Letters/documentation supporting promotion and tenure decisions (excluding candidate dossiers for tenure and promotion)*	Until end of employment.	2 years	Permanent
Letters/documentation related to leaves (including forms, sabbatical plans, reports) *	Until end of employment.	2 years	Permanent
Correspondence to/from the faculty member	Until end of employment.	2 years	Permanent
Additional correspondence, such as letters of congratulation, thank you, etc.	Until end of employment.	2 years	Permanent
Disciplinary material	Questions regarding retention of records pertaining to disciplinary action should be directed to the Director of Labour Relations.		
NOTE: Additional documents (email and background notes) – please see Item 17 (above).			

**See attached list of letters signed in accordance with the Collective Agreement with CUASA*

Faculty Personnel File Documents – Honorary And Affiliated Ranks			
Item	# Years Active	# Years Inactive	Final Disposition
Letters/documentation (including forms) related to appointment, renewal, non-renewal, and resignation/termination.	Until end of appointment.	2 years	Permanent
Curriculum Vitae	Until superseded by updated version of CV.	N/A	Permanent (most recent CV must always be kept).
Official correspondence to/from the appointee. ¹	Until end of appointment.	2 years	Permanent

¹ For guidance on identifying official versus transitory records, visit: <https://carleton.ca/records/records-management-services/rm-tip-sheets/>

SEARCH AND REVIEW COMMITTEE RECORDS

Purpose

1. The purpose of these guidelines is to provide general information for Deans and the University Librarian, Chairs and Directors, Executive Assistants, and Departmental Administrators on the proper retention and disposal of records related to academic search committees.

Additional Relevant Policies

2. See page 1.

Faculty Personnel File Documents – Domestic Hires

The files in the primary search/review file may be kept confidentially longer than the retention schedule if the appointment process becomes the subject of a complaint. A Human Rights complaint may be lodged up to 1 year after the hiring process.

Item	# Years Active	# Years Inactive	Final Disposition
Job description	Until end of search and appeal term	N/A	Permanent
Position Advertisement	Until end of search and appeal term	N/A	Permanent
Applications	Until end of search and appeal term	1 year	Destroy
Supporting Documentation (including CVs; excluding letters of reference)	Unsuccessful candidates: Until end of search and appeal term	1 year	Destroy
	Successful candidates: Until end of search and appeal term	1 year	Permanent
Letters of Reference (Article 16.7)	3 Months following interviews	N/A	Destroy
Minutes	Until end of search and appeal term	1 year	Destroy
Committee Member Notes	Until end of search and appeal term	1 year	Destroy
List of Interview Questions	Until end of search and appeal term	1 year	Destroy
Notes on Interview Questions Responses	Until end of search and appeal term	1 year	Destroy
Internal/External Comments	Until end of search and appeal term	1 year	Destroy

Faculty Personnel File Documents – Canada Research Chairs / International Hires

Canada Research Chairs requires files to be kept for 7 years. Department of Immigration, Refugees and Citizenship Canada may request an employment compliance audit up to 7 years after an appointment is made.

Item	# Years Active	# Years Inactive	Final Disposition
Job description	Until end of search and appeal term	N/A	Permanent
Position Advertisement	Until end of search and appeal term	N/A	Permanent
Applications	Until end of search and appeal term	7 years	Destroy
Supporting Documentation (including CVs; excluding letters of reference)	Unsuccessful candidates: Until end of search and appeal term	7 years	Destroy
	Successful candidates: Until end of search and appeal term		Permanent
Letters of Reference	Until end of search and appeal term	N/A	Destroy
Minutes	Until end of search and appeal term	7 years	Destroy
Committee Member Notes	Until end of search and appeal term	7 years	Destroy
List of Interview Questions	Until end of search and appeal term	7 years	Destroy
Notes on Interview Questions Responses	Until end of search and appeal term	7 years	Destroy
Internal/External Comments	Until end of search and appeal term	7 years	Destroy

PROMOTIONS MATERIALS

Purpose

1. The purpose of these guidelines is to clarify the retention and disposal of promotions documentation.

Additional Relevant Policies

2. Article 10: Tenure and Promotions, [Collective Agreement between Carleton University and CUASA](#)

Candidate Dossiers

3. **All candidate dossiers should be retained intact for three months following the completion of the promotions process (CUASA Collective Agreement, 16.7).**
4. Three months after the conclusion of the promotions process, as the office of primary responsibility, individual candidate dossiers will be retained by the Office of the Provost and Vice-President (Academic) according to the following guidelines:

Promotion Candidate Dossier Documents			
Item	# of Years Active	# of Years Inactive	Final Disposition
Candidates Recommended			
Covering letter (i.e. letter of application)	Until end of promotions process (all 3 committees).	<u>3 months</u>	<u>Destroy</u>
Curriculum Vitae	Until end of promotions process.	N/A	Permanent (most recent) in candidate’s faculty file.
Recent publications	Until end of promotions process.	N/A	Destroy
Student comments (optional)	Until end of promotions process.	N/A	Destroy
Referees’ names	Until end of promotions process.	N/A	Destroy
Supplemental material	Until end of promotions process.	N/A	Destroy
Evaluations	Until end of promotions process.	N/A	Destroy
Letters of reference and appraisal	Until end of promotions process.	3 months	Destroy, unless otherwise requested by candidate.
Candidates Not Recommended			
Covering letter (i.e. letter of application)	<ol style="list-style-type: none"> 1. <u>If no appeal is filed</u>, retain documents for one year, then dispose. 2. <u>If an appeal is filed</u>, retain documents until the Tenure and Promotion Appeals Committee’s (TPAC) decision letter is issued to the candidate, then destroy. 3. NOTE: Letter of reference and appraisal must be kept for future consideration if requested by candidate (CUASA Collective Agreement 16.8(b)). 		
Curriculum Vitae			
Recent publications			
Students comments (optional)			
Referees’ names			
Supplemental material			
Evaluations			
Letters of reference and appraisal			

PROMOTIONS MATERIALS (Con't)

Office of Primary Responsibility – University Promotions Files

As the office of primary responsibility, the Office of the Provost and Vice-President (Academic) will retain one general university promotions file. These materials are retained according to the following guidelines:

University Promotions Committee File Documents			
Item	# Years of Active	# of Years Inactive	Final Disposition
Provost’s Memorandum regarding results of University Promotions Committee recommendations.	Until promotions process and/or appeal period (1 year) ends.	N/A	Permanent
Deans’ Memoranda regarding the Faculty Promotions Committee recommendations.	Until promotions process and/or appeal period (1 year) ends.	N/A	Permanent
Chairs’ Memoranda Regarding the Departmental Promotions Committee recommendations.	Until promotions process and/or appeal period (1 year) ends.	N/A	Permanent
Administrative notes (i.e. notes to file)			Permanent
Ballots and Tallies	1. <u>If no appeal is filed</u> , retain documents for one year, then dispose. 2. <u>If an appeal is filed</u> , retain documents until the TPAC’s decision letter is issued to the candidate then destroy.		
Committee member acknowledgment and confidentiality statement.	Until promotions process and/or appeal period (1 year) ends.	3 months	Destroy

CONFIRMATION AND TENURE MATERIALS

Purpose

1. The purpose of these guidelines is to clarify the retention and disposal of tenure/confirmation documents.

Additional Relevant Policies

2. Article 10: Tenure and Promotion: [Collective Agreement between Carleton University and CUASA](#)
3. Article 11: Professional Librarian Employees, [Collective Agreement between Carleton University and CUASA](#)
4. Article 12: Instructor Employees, [Collective Agreement between Carleton University and CUASA](#)

Candidate Dossiers

5. All candidate dossiers should be retained intact for three months following the completion of the tenure/confirmation process (16.7).
6. Three months after the conclusion of the tenure process, as the office of record, individual candidate dossiers will be retained by the Office of the Provost and Vice-President (Academic) according to the following guidelines:

Tenure/Confirmation Candidate Dossier Documents		
Item	Retention Schedule (If Candidate is Recommended)	Final Disposition (If Candidate is Not Recommended)
Application	Destroy	<ol style="list-style-type: none"> 1. If no appeal, retain for one year, then dispose. 2. If there is an appeal, retain documents until the TPAC decision letter has been issued to the candidate, then destroy.
Curriculum Vitae	Permanent (most recent), in candidate's faculty file.	
Supporting documents: recent publications, Student comments, Referees' names, Service history, Teaching evaluations.	Destroy	

Office of Primary Responsibility – University Tenure/Confirmation Files

7. As the office of primary responsibility, the Office of the Provost and Vice-President (Academic) will retain one general tenure/confirmation file, including:

University tenure/Confirmation File Documents	
Item	Retention Schedule
Faculty recommendation	Permanent
Departmental recommendation	Permanent
Administrative notes (i.e. notes to file)	Permanent

TENURE & PROMOTION APPEALS COMMITTEE MATERIALS

Office of Primary Responsibility – University Tenure/Confirmation Files

1. As the office of primary responsibility, the Office of the Provost and Vice-President (Academic) will retain one university appeals committee file in addition to individual candidate dossiers for every appellant.
2. For each candidate who files an appeal, the original candidate dossier should be retained intact for one year following the date that the Tenure and Promotion Appeals Committee’s (TPAC) decision letter is issued to the candidate.
3. One year after the conclusion of the appeal process, as the office of primary responsibility, materials will be retained by the Office of the Provost and Vice-President (Academic) according to the following guidelines:

Tenure and Promotion Appeal Committee Documents	
Item	Final Disposition
Candidate’s original dossier (excluding letters of reference and appraisal)	Destroy NOTE: The candidate’s most recent CV is filed in their faculty file
Letters of reference and appraisal for promotion	Destroy NOTE: Letter of reference and appraisal must be kept for future consideration if requested by candidate (16.8(b))
New supporting documentation from the candidate	Destroy
Tenure/Promotion decision letter from University	Permanent, in candidate’s faculty file
Deans’ Memoranda regarding the Faculty Tenure and Promotions Committee recommendations (copy)	Destroy
Chairs’ Memoranda regarding the Departmental Tenure and Promotions Committee recommendations (copy)	Destroy
Appeal letter from the candidate	Destroy
Response from the employer (as requested by TPAC)	Destroy
TPAC deliberation materials	Destroy
TPAC correspondence	Permanent
Committee member acknowledgment and confidentiality statement	Destroy

AWARDS MATERIALS

Purpose

1. The purpose of these guidelines is to clarify the retention and disposal of faculty awards materials.

Additional Relevant Policies

2. Article 41: Achievement Awards, [Collective Agreement between Carleton University and CUASA](#)

Office of Primary Responsibility

3. All achievement awards nominations should be retained intact for three months following the completion of the awards process (16.7).
4. Three months after the conclusion of the awards process, the retention and disposal of Achievement Award materials should adhere to the following guideline:

University Achievement Awards File Documents	
Item	Retention Schedule
Nomination (including the candidate’s CV, application form, and other supporting documents)	For successful applicants, permanent. For unsuccessful applications, dispose NOTE: The candidate’s most recent CV is filed in their faculty file
(For PLAA) List of recommendations/nominees from the Peer Evaluation Committee to the University Librarian	Permanent
Provost’s Memorandum regarding results of University Promotions Committee recommendations	Permanent
Deans’ Memoranda regarding the Faculty Awards Committee recommendations	Permanent
Administrative notes (i.e. notes to file)	Permanent
Letters from OPVAC to successful/unsuccessful nominees	Permanent, in nominees’ faculty files
Additional committee meeting materials: notes, tallies, and ballots	Dispose
Indication by award winner of how they would like to receive their financial award	Dispose