

Carleton University Retention Schedule

Section 2

CAMPUS OPERATIONS

Records and data in this category document essential business services of the university, including campus safety and security, environmental health and safety, health and counselling services, athletics and recreation, residence services, and events, food, and beverage services. Records under this category are not exclusive to the coordinating bodies (e.g. Campus Safety Services) but also include related records located in work units across campus, dependent on operational needs.

<u>Retention Instructions</u>	2
CAM-00 <u>Policies, Procedures and Standards</u>	3
CAM-01 <u>Reports and Statistics</u>	4
CAM-02 <u>Project and Project Management</u>	5
CAM-03 <u>Committees</u>	6
CAM-04 <u>Incident Reports</u>	7
CAM-05 <u>Accommodations, Residences, and Housing</u>	8
CAM-06 <u>Athletic Teams and Registrations</u>	9
CAM-07 <u>Conference Planning and Management</u>	10
CAM-08 <u>Events Management</u>	11
CAM-09 <u>Food and Beverage Services</u>	12
CAM-10 <u>Liquor Licenses</u>	13
CAM-11 <u>Mail and Delivery</u>	14
CAM-12 <u>Medical Billings</u>	15
CAM-13 <u>Patient Health Records</u>	16
CAM-14 <u>Physician and Nursing Records</u>	17
CAM-15 <u>Trespass Notices and Appeal Records</u>	18

CORPORATE RECORDS & ARCHIVES

Retention Schedule Instructions

Rule No.	Rule Name	SECTION NAME	Implementation Date
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Summary of the length of time you must retain records in this rule after it is no longer active.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			
<i>Digitization:</i> Any instructions related to the digitization of hard copy records.			
<i>See also:</i> 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 unit policies, procedures, and standards for campus operations and services. 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 the unit's operating procedures are determined. Records may include policy proposals, research papers, consultations, final policy documentation, operating procedures, and administrative practices.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 5 years after superseded or new standards put in place.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

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

Special Instructions

Digitization: --

See also: For university-wide policies, see: **GOV-00 - University Policies, Procedures, and Standards**.

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 campus services and operations. Does not include external reports and statistics used as reference.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 10 years from creation.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

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

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 made, received, or used by units in support of campus operations project management. Records may include correspondence, memoranda, and organizational charts, delegation of authority, studies, forms, transaction records, work orders, manuals, briefings, and issue notes.

Does **not** include project management for major capital projects.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 7 years from completion of project.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

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

Secondary Copies

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

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 standing or ad hoc committees that manage or advise on campus operations and services.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum of 3 years.

Final Disposition

AR

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Corporate Records and Archives can establish a specific retention schedule for committees and working groups after consulting with the unit responsible. Contact Corporate Records and Archives for more information.

Secondary Copies

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

Special Instructions

Digitization: Hard copies may be destroyed when replaced with digitized versions. It is the recommendation of CU-CRA however that past retention records under this category should not be digitized. If the records are reviewed as historically significant, they should be transferred directly to Corporate Archives instead.

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

Replaced by SAS-04 and SAS-05 under *Safety and Security*.

Office of Primary Responsibility

-

Retention Summary

-

Final Disposition

-

Retention Rationale

-

Filing Notes/Location

-

Secondary Copies

--

Special Instructions

--

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.

CAM-05	Accommodations, Residences and Housing	CAMPUS OPERATIONS	2017-16
---------------	---	--------------------------	----------------

Description

Consists of records relating to the management and operation of housing services activities. Records may include databases of facilities, occupancy, reports, and correspondence.

Office of Primary Responsibility

Housing and Residence Life Services

Retention Summary

Retain for 5 years after file is closed.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

--

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.

CAM-06

Athletics Teams & Registrations

**CAMPUS
OPERATIONS**

2017-16

Description

Includes athletics and recreation facility memberships and recreational camp registrations. Records may also include varsity, intercollegiate, intramural, other team rosters, schedules or registrations.

Office of Primary Responsibility

Carleton Athletics

Retention Summary

Retain for 5 years from end of fiscal year in which the record was created.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Registration materials for recreational camps serving minors is currently under review. Please contact Corporate Records and Archives directly for instruction.

Secondary Copies

--

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 folios and reservations for guests, rentals, or use of campus facilities for conferences and programs.

Office of Primary Responsibility

Conference Services

Retention Summary

Retain for 5 years after completion of event.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

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

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 related to planning, creation and conducting of campus events, celebrations, ceremonies, logistics, and management of these events.

Office of Primary Responsibility

Designated unit responsible for the event

Retention Summary

Retain for 5 years after completion of event.

Final Disposition

AR/D – Units may consult with Corporate Records and Archives to identify any events that may be historically significant to the university.

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

--

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 relating the management and operation of catering, food and beverage services. Records may include copies of contracts or leases, documentation regarding approval of off-campus caterers, financial records, copies of insurance certificates, and correspondence.

Office of Primary Responsibility

Conference Services

Retention Summary

Retain for 7 years from end of fiscal year in which the record was created.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

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

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 relating to liquor license applications and management.

Office of Primary Responsibility

Conference Services

Retention Summary

Retain in unit for 5 years after second renewal period.

Final Disposition

D

Retention Rationale

Liquor License Act, R.S.O. 1990, c. L. 19

Filing Notes/Location

--

Secondary Copies

--

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 relating to postage, mailings, returned, damaged or lost mail and courier delivery services, including freight, customs logs, or lists.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain for 1 fiscal year.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

--

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 relating to the billings for health, medical, or counselling services.

Office of Primary Responsibility

Health and Counselling Services

Retention Summary

Retain for minimum 10 years after the date of the last entry or 10 years after patient reaches, or would have reached, the age of 18.

Final Disposition

D

Retention Rationale

Health Insurance Act, R.S.O. 1990, c. H.6

Public Hospitals Act, R.S.O. 1990, C. P. 40, Regulation 965

Personal Health Information Protection Act, 2004, S.O. 2004

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Patient Health Records*, see **CAM-13**.

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 delivery of medical, health, counselling services to individuals.

Office of Primary Responsibility

Health and Counselling Services

Retention Summary

Retain for 10 years after file is closed or, in the case of minors, 10 years after the patient turns or would have turned 18.

Final Disposition

D

Retention Rationale**Filing Notes/Location**

Health Insurance Act, R.S.O. 1990, c. H.6

Public Hospitals Act, R.R.O. 1990, Regulation 965: Hospital Management

Personal Health Information Protection Act, 2004, S.O. 2004

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Medical Billings*, see: **CAM-12**.

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 day-to-day duties of regulated health professionals that are not considered patient specific.

Office of Primary Responsibility

Health and Counselling Services

Retention Summary

Retain 10 years from end of fiscal year in which the record was created.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Patient Health Records*, see **CAM-13**.

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 trespass notices, correspondence regarding appeals, supporting documentation of trespass notices and any appeals.

Office of Primary Responsibility

Office of the Vice-President (Students and Enrolment)
University Secretary

Retention Summary

Retain in unit as active for minimum 10 years from issuance of ban, completion of appeal process, or lifting of trespass notice.

Retain in Corporate Records & Archives for 50 years from transfer. University Secretary to review for ongoing retention or destruction.

Final Disposition

AR

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Discipline (Non-Academic)*, see: **STU-07**.

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.