

# Carleton University Retention Schedule

## Section 7

### HUMAN RESOURCES

Records and data in this category document the management of academic and non-academic staff of the university, including pension management records, individual employee files, discipline and termination issues and leave management. Records in this category are not exclusive to the university's Human Resources department and exist in various capacities in all work units.

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## RETENTION RULE INSTRUCTIONS

| Rule No.  | Rule Name | SECTION NAME | Implementation Date |
|---|-----------|--------------|---------------------|
| <b>Description</b><br>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.                  |           |              |                     |
| <b>Office of Primary Responsibility</b><br>Identifies the department, unit, or position that has ultimate responsibility for the creation, management, retention, and disposition of the records covered under the rule.  |           |              |                     |
| <b>Retention Summary</b><br>Summary of the length of time you must retain records in this rule after it is no longer active.  |           |              |                     |
| <b>Final Disposition</b><br>How to dispose of the records once the retention period is finished – Archival Review ( <b>AR</b> ), Destruction ( <b>D</b> ), or Transfer to Corporate Archives ( <b>P</b> ). The key at the bottom of this page is on every rule in CURS. |           |              |                     |
| <b>Retention Rationale</b><br>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.  |           |              |                     |
| <b>Filing Notes/Location</b><br>Additional instructions for retention or disposition or instructions on handling edge cases in the records covered by the rule.   |           |              |                     |
| <b>Secondary Copies</b><br>Instructions for record holders who are <b>not</b> the Office of Primary Responsibility.   |           |              |                     |
| <b>Special Instructions</b><br><i>Digitization:</i> Any instructions related to the digitization of hard copy records.<br><i>See also:</i> Pointers to other rules that might be similar/more appropriate for your use.   |           |              |                     |

## GENERAL ADMINISTRATION

|               |   |                        |                |
|---------------|---|------------------------|----------------|
| <b>HUM-00</b> | <b>Policies, Procedures &amp; Standards</b> | <b>HUMAN RESOURCES</b> | <b>2023-05</b> |
|---------------|---|------------------------|----------------|

### Description

Consists of records relating to the establishment of department or unit administrative policies, procedures, and standards specific to human resources and staff management. 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 department 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

Designated unit

### Retention Summary

Retain in unit for 3 years after superseded.

### Final Disposition

D

### Retention Rationale

Retention based on current operational use.

### Filing Notes/Location

--

### Secondary Copies

Transitory. Retain only as needed for reference or convenience.

### Special Instructions

Digitization: --

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

|               |                                 |                        |                |
|---------------|---------------------------------|------------------------|----------------|
| <b>HUM-01</b> | <b>Reports &amp; Statistics</b> | <b>HUMAN RESOURCES</b> | <b>2023-05</b> |
|---------------|---------------------------------|------------------------|----------------|

**Description**

Records include reports as well as the supporting documentation and statistics created or used to produce reports to unit human resources. 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 (Selective permanent retention by Corporate Records and Archives)

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

Transitory. Reports and statistics retained as reference by other units may be destroyed once no longer needed.

**Special Instructions**

Digitization: --

See also: Retention of reports and statistics may vary based on function of the information.  
Contact Corporate Records and Archives for more information.

**Description**

Records made, received, or used by units in support of their programs, functions, activities, and operations as related to unit human resources. Records may include correspondence and memoranda, organizational charts, delegation of authority, studies, forms, transaction records, work orders, manuals, briefings, and issue notes.

**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 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: --

**Description**

Records documenting the proceedings and actions of standing or ad hoc committees specific to human resources, such as healthy workplace efforts and working groups on job functions and descriptions.

Does not include hiring committees. Contact Corporate Records and Archives for more information.

**Office of Primary Responsibility**

Designated units  
Human Resources

**Retention Summary**

Retain in unit for minimum 3 years from creation.

**Final Disposition**

AR (Selective permanent retention by Corporate Records and Archives)

**Retention Rationale**

Retention based on current operational use.

**Filing Notes/Location**

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

**Secondary Copies**

Committee documentation held as reference by committee members or other units may be destroyed when no longer needed. Committee chairs are responsible for supporting and/or delegating records management of committee materials.

**Special Instructions**

Digitization: --

See also: --

|               |  |                        |                |
|---------------|--|------------------------|----------------|
| <b>HUM-04</b> | <b>Associate Vice-President,<br/>Human Resources</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
|---------------|--|------------------------|----------------|

#### **Description**

Records created or received that document the role of the Associate Vice-President, Human Resources in managing sensitive or major human resource operations and staffing issues.

#### **Office of Primary Responsibility**

Human Resources

#### **Retention Summary**

Retain for minimum 5 years after the transition to new Associate Vice-President, depending on ongoing need for operations and any legal holds.

#### **Final Disposition**

D/AR (Selective retention by Corporate Records and Archives)

#### **Retention Rationale**

Retention based on current operational use.

#### **Filing Notes/Location**

Regular weeding of transitory documents is advised, including convenience copies of minutes, working documents and agendas for which Human Resources is not the Office of Primary Responsibility (e.g. Senate, Board of Governors, etc.), courtesy emails and correspondence, general memoranda from external departments, draft documents once superseded by final version, rough notes or working papers.

#### **Secondary Copies**

--

#### **Special Instructions**

Digitization: Email correspondence of significance saved in repositories outside of Outlook (e.g. network drive or Banner BDM), must be saved in PDF.

See also: For other executive level records, see: *Executive Files and Correspondence – ADM-07*.

## EMPLOYEE RELATIONS

| HUM-05   | Discipline | HUMAN RESOURCES | 2025-05 |
|--|------------|-----------------|---------|
| <b>Description</b>   |            |                 |         |
| Consists of records relating to the administration of disciplinary actions against an employee, as well as case files regarding such actions. Includes written complaints and supporting documentation, written warnings, notes, correspondence, and documentation of disciplinary actions.            |            |                 |         |
| Interpretation of this retention rule or questions regarding disciplinary records should be directed to Labour Relations.  |            |                 |         |
| <b>Office of Primary Responsibility</b>  |            |                 |         |
| Human Resources – Staff and Labour Relations (Professional Services)<br>Office of the Provost and Vice-President (Academic)  |            |                 |         |
| <b>Retention Summary</b>   |            |                 |         |
| Retain 2 years from closure of any procedures, further disciplinary action, or from period defined in the collective agreement appropriate to the employee. Retention may extend beyond 2 years up to the duration of any extended absence beyond 30 calendar days except any continuous annual leave. |            |                 |         |
| Should any discrepancy between retention periods in the Carleton University Retention Schedule and collective agreements exist, retention and disposition outlined in collective agreements is the authority.  |            |                 |         |
| <b>Final Disposition</b>   |            |                 |         |
| D  |            |                 |         |
| <b>Retention Rationale</b>   |            |                 |         |
| Collective Agreements:<br>CUPE 2424 (Section 14)<br>CUPE 3778 (Section 9)<br>CUPE 910 (Section 10.01)<br>OPSEU (Section 8.04)  |            |                 |         |
| <b>Filing Notes/Location</b>   |            |                 |         |
| These records include those related to professional services, faculty/librarians, contract instructors, and teaching assistants.   |            |                 |         |
| <b>PIB</b>   |            |                 |         |
| Yes  |            |                 |         |
| <b>Secondary Copies</b>  |            |                 |         |
| --   |            |                 |         |
| <b>Special Instructions</b>  |            |                 |         |
| Digitization:--  |            |                 |         |
| See also:--  |            |                 |         |



**Description**

Consists of records of complaints, written notification of grievances, correspondence between employee/association and employer, notes, arbitration documentation, records of meetings, and signed agreements and resolutions.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain official grievance and arbitration records in unit for minimum 10 years from closure of file.

In reviewing records for final disposition, Human Resources will extend the retention period for cases that affect ongoing operations or that have been identified for legal hold.

**Final Disposition**

AR/D

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

Individual case files grouped by bargaining unit. These records include those related to professional services, faculty/librarians, teaching assistants, and casual employees.

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization:--

See also:--

|               |   |                        |                |
|---------------|---|------------------------|----------------|
| <b>HUM-07</b> | <b>Labour Relations – Professional Services/Faculty</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
|---------------|---|------------------------|----------------|

#### **Description**

Consists of records relating to the relationships between management with staff or faculty/librarians including agreements, memorandum of agreement files, newsletters, and union leave requests/approvals. Records may also include documentation of negotiation preparations, collective agreement mediation, correspondence and memoranda related to agreements, and any other related correspondence and of significance.

#### **Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)  
Office of the Provost - Academic Labour Relations

#### **Retention Summary**

Retain for 15 years from date of collective agreement referenced in records.

#### **Final Disposition**

D/AR (Selective retention by Corporate Records and Archives)

#### **Retention Rationale**

Retention based on anticipated operational use.

#### **Filing Notes/Location**

--

#### **Secondary Copies**

--

#### **Special Instructions**

Digitization: --

See also: --

**Description**

Consists of records documenting the administration and delivery of employee training and development. Records may include orientation documentation, documentation of career and skill-development courses and training developed by Human Resources, tracking of required training, and final presentations or videos.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain in unit for 5 years from last action.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational need.

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

Transitory. Destroy when no longer needed.

**Special Instructions**

Digitization:--

See also:--

#### Description

Consists of records relating to the drafting and creation of job descriptions for university positions.

#### Office of Primary Responsibility

Human Resources – Staff Labour Relations (Professional Services)  
Office of the Provost and Vice-President (Academic)

#### Retention Summary

Retain in unit 3 years after superseded.

#### Final Disposition

Most recent version of job description must be retained indefinitely.

#### Retention Rationale

Retention based on anticipated operational use.

#### Filing Notes/Location

--

#### Secondary Copies

Hiring units should retain job descriptions for reference while active. Destroy when superseded or no longer needed for reference.

#### Special Instructions

Digitization: --

See also: Faculty and Librarians should refer to ***Appendix A: Retention and Disposal of Faculty Personnel Records***.

**Description**

Consists of records relating to the administration and management of annual increases process for employees.

**Office of Primary Responsibility**

Human Resources - Compensation  
Office of the Provost and Vice-President (Academic)

**Retention Summary**

Retain in unit as active for 7 years from creation.

**Final Disposition**

D

**Retention Rationale**

Retention based on current Individual Employee file.

**Filing Notes/Location**

Annual increase processes documentation is currently filed with the individual employee's record.

**Secondary Copies****Special Instructions**

Digitization: --

See also: Faculty and Librarians should refer to ***Appendix A: Retention and Disposal of Faculty Personnel Records***.

**Description**

Consists of records concerning position activity forms that are used in exchange with Finance to confirm the funding for a specific position.

**Office of Primary Responsibility**

Human Resources

**Retention Summary**

Retain in unit for 3 years from creation.

**Final Disposition**

D

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

**Description**

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.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain as active record for 1 year.

**Final Disposition**

P

**Retention Rationale**

Retention based on anticipated operational use.  
Pay Equity Act, R.S.O. 1990, c.P.7, s.13(1)

**Filing Notes/Location**

--

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

**Description**

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.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain in unit as active for 7 years from creation.

**Final Disposition**

D

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: Faculty and Librarians should refer to **Appendix A: Retention and Disposal of Faculty Personnel Records**.



**Description**

Consists of records documenting general human resources and administration queries, not related to specific employee or case file management. Records may include contact forms, correspondence, voice and chat messages.

**Office of Primary Responsibility**

Human Resources

**Retention Summary**

Retain for 1 calendar year.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational need.

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization:--

See also:--

**Description**

Consists of records that document informal or alternate resolutions for complaints that do not escalate to formal investigation procedures. May include correspondence, notes, incident reports from Campus Safety Services, and informal agreements.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain for maximum 5 years from last action.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational need.

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization:--

See also:--

**Description**

Consists of records that document formal conflict investigations, including workplace assessments, formal conflict resolution, harassment, human rights violations, and workplace violence. Records may include correspondence, formal reports, notes, and supporting documentation used in the investigation.

Does not include records that evidence in sexual violence investigations.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain for maximum 10 years from last action.

In reviewing records for final disposition, Human Resources will extend the retention period for cases that affect ongoing operations or that have been identified for legal hold.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational need.

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization:--

See also:-- For *Security and Incident Case Files – Sexual Violence*, see: SAS-06.

## HIRING, PROMOTION and RECRUITMENT

|        |   |                 |         |
|--------|---|-----------------|---------|
| HUM-17 | Staffing – Competitions and Recruitment | HUMAN RESOURCES | 2025-05 |
|--------|---|-----------------|---------|

### Description

Consists of records relating to competitions and recruitment for professional services staff, including records created and maintained by department/unit-level hiring committees. Records may include correspondence (including email), interview schedules and questions, accepted/rejected offers and interview panel notes.

Does not cover hiring of faculty personnel.

### Office of Primary Responsibility

Human Resources – Talent Acquisition

### Retention Summary

Retain in Human Resources for 2 years from completion of hiring, including appeals.

### Final Disposition

D

### Retention Rationale

Retention based on current operational use.

### Filing Notes/Location

- Once hiring is complete department/unit-level records, including hiring committees, must be transferred to Human Resources.
- Hiring Committee members using MS Teams must ensure that the Teams sites or channels are restricted to committee members and authorized personnel only.
- Final curriculum vitae of successful candidate must be maintained in the employee's individual file.

### PIB

Yes

### Secondary Copies

Department/unit-level hiring copies must be securely destroyed once records are transferred to Human Resources. Ensure documentation held by hiring committee members is securely destroyed.

### Special Instructions

Digitization:--

See also: For records related to hiring of domestic, international, and Canada Research Chairs faculty personnel, see *Guidelines for the Retention and Disposal of Faculty Records, Search and Review Committee Records*.

|               |   |                        |                |
|---------------|---|------------------------|----------------|
| <b>HUM-18</b> | <b>Staffing – Competitions and Recruitment<br/>(Faculty and Librarians)</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
|---------------|---|------------------------|----------------|

#### **Description**

Retention and disposition scheduling for records pertaining to competitions and recruitment for faculty and librarians are described in the *Carleton University Retention Schedule*, [Appendix A: Guidelines for the Retention and Disposition of Faculty Personnel Records](#).

#### **Office of Primary Responsibility**

Office of the Provost and Vice-President (Academic)

#### **Retention Summary**

See Appendix A

#### **Final Disposition**

See Appendix A

#### **Retention Rationale**

*The Collective Agreement between Carleton University and Carleton University Academic Staff Association for the Period 01 May 2021 to 30 April 2024*

#### **Filing Notes/Location**

--

#### **PIB**

Yes

#### **Secondary Copies**

Department/unit copies of faculty/librarian personnel files should be transferred to Corporate Records and Archives for reconciliation no more than 2 years after retirement/termination of individual.

#### **Special Instructions**

Digitization:--  
See also:--

**Description**

Records consist of unsolicited applications for general hiring, not related to any current job postings at the university. Includes unsolicited curriculum vitae or resumes received by either Human Resources or university departments or units.

**Office of Primary Responsibility**

Human Resources  
Department or unit of receipt

**Retention Summary**

No retention period required.

**Final Disposition**

D

**Retention Rationale**

--

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization:--

See also:--

|               |   |                        |                |
|---------------|---|------------------------|----------------|
| <b>HUM-37</b> | <b>Indigenous Identity Verification Process</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
|---------------|---|------------------------|----------------|

#### **Description**

Consists of records collected and used to verify the identity of individuals applying to positions limited to Indigenous (First Nations, Inuit, Métis) candidates. Includes identification documentation as defined in Category 1 and 2 in the university's Hiring Policy for Positions Limited to Indigenous Candidates, additional required documentation defined in Category 3 of the Policy, as well as supporting correspondence and notes created or retained by the Office of the Associate Vice-President, Indigenous Teaching, Learning and Research and hiring units.

#### **Office of Primary Responsibility**

Office of the Associate Vice-President, Indigenous Teaching, Learning and Research

#### **Retention Summary**

Retain for length of verification process and final decision + 6 months.

#### **Final Disposition**

Verification decision recorded in employee file of successful candidates.  
All other records submitted during the process = D

#### **Retention Rationale**

Hiring Policy for Positions Limited to Indigenous Candidates

#### **Filing Notes/Location**

All records retained in the official repository of the Office of Primary Responsibility.  
Retention and disposition scheduling to be reviewed for final implementation by May 2026.

#### **Secondary Copies**

No secondary or duplicate records should exist outside of the AVP, Indigenous Teaching, Learning and Research office. Should hiring units receive records related to identity verification in error, they must transfer the material to the AVP office and immediately destroy any copies received.

#### **Special Instructions**

Digitization: Analog copies may be replaced by digitized versions. Destroy duplicates upon digitization.

See also: Employee Files (Full-time, permanent) – HUM-18.

## EMPLOYEE RECORDS

|  |   |                        |                |
|--|---|------------------------|----------------|
| <b>HUM-20</b>  | <b>Employees (Full-time, Permanent)</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
| <b>Description</b>   |   |                        |                |
| Consists of records relating to full-time, permanent professional services staff. Records may include signed letters of offer, renewals, awards, organizational assignment information, personal information, leave requests and documentation and performance appraisals.   |   |                        |                |
| 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>Office of Primary Responsibility</b>  |   |                        |                |
| Human Resources<br>Office of the Provost and Vice-President (Academic)   |   |                        |                |
| <b>Retention Summary</b>   |   |                        |                |
| Retain for 50 years from final pension payout.   |   |                        |                |
| <b>Final Disposition</b>   |   |                        |                |
| D  |   |                        |                |
| <b>Retention Rationale</b>   |   |                        |                |
| Retention based on anticipated operational use.  |   |                        |                |
| <b>Filing Notes/Location</b>   |   |                        |                |
| Local, department copies are classed as duplicate materials to the official record in Human Resources. Departments may retain these materials while the individual is employed with them but the records must be securely destroyed maximum 3 years after the end of the individual's last contract with the department. |   |                        |                |
| <b>PIB</b>   |   |                        |                |
| Yes  |   |                        |                |
| <b>Secondary Copies</b>  |   |                        |                |
| <b>Special Instructions</b>  |   |                        |                |
| Digitization:--  |   |                        |                |
| See also: See HUM-23 <i>Employee Files (Department/unit Copies)</i>  |   |                        |                |



|               |  |                        |                |
|---------------|--|------------------------|----------------|
| <b>HUM-21</b> | <b>Employee Files<br/>(Research and Teaching Assistants)</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
|---------------|--|------------------------|----------------|

#### **Description**

Consists of records relating to individuals in research and teaching assistant positions. Records may include signed letters of offer, renewals, awards, organizational assignment information, personal information, leave requests and performance appraisals.

#### **Office of Primary Responsibility**

Human Resources  
Office of the Provost and Vice-President (Academic)

#### **Retention Summary**

Retain until end of term/contract + 7 years.

#### **Final Disposition**

D

#### **Retention Rationale**

Retention based on anticipated operational use.

#### **Filing Notes/Location**

--

#### **PIB**

Yes

#### **Secondary Copies**

Local, department copies are classed as duplicate materials to the official record in Human Resources. Departments may retain these materials while the individual is employed with them but the records must be securely destroyed maximum 3 years after the end of the individual's last contract with the department.

#### **Special Instructions**

Digitization:--

See also: See HUM-23 *Employee Files (Department/unit Copies)*

|               |  |                        |                |
|---------------|--|------------------------|----------------|
| <b>HUM-22</b> | <b>Employee Files<br/>(Casual and Student Employees)</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
|---------------|--|------------------------|----------------|

#### **Description**

Consists of records relating to individuals in casual or student positions, including contract instructors. Records may include signed letters of offer, renewals, awards, organizational assignment information, personal information, leave requests and performance appraisals.

#### **Office of Primary Responsibility**

Human Resources

#### **Retention Summary**

Retain until end of term/contract + 7 years.

#### **Final Disposition**

D

#### **Retention Rationale**

#### **Filing Notes/Location**

#### **PIB**

Yes

#### **Secondary Copies**

Local, department copies are classed as duplicate materials to the official record in Human Resources. Departments may retain these materials while the individual is employed with them but the records must be securely destroyed maximum 3 years after the end of the individual's last contract with the department.

#### **Special Instructions**

Digitization:--

See also: See HUM-23 *Employee Files (Department/unit Copies)*

|               |  |                        |                |
|---------------|--|------------------------|----------------|
| <b>HUM-23</b> | <b>Employee Files<br/>(Department/unit copies)</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
|---------------|--|------------------------|----------------|

#### **Description**

Consists of records relating to individuals in all employee categories created or collected and maintained in departments/units other than Human Resources. Records may include copies of letters of offer, renewals, awards, organizational assignment information, personal information, leave requests, return to work and accommodation documentation, CVs, department performance appraisals, work plans, and correspondence.

#### **Office of Primary Responsibility**

Designated department/unit

#### **Retention Summary**

Official employee files are the primary responsibility of Human Resources (Professional Staff) and the Office of the Provost and Vice President (Academic). Upon termination of an employee, department/units should:

- Staff files (Permanent, Casual, Student): Retain in unit for maximum 3 years post-termination.
- Faculty files: Transfer to Corporate Records and Archives for reconciliation with Provost copies of records.

#### **Final Disposition**

Professional staff files: D

Academic staff: AR

#### **Retention Rationale**

Retention based on current operational use.

#### **Filing Notes/Location**

Medical absence documentation must be submitted directly to Human Resources and should never be retained in a department/unit employee file.

#### **PIB**

Yes

#### **Secondary Copies**

--

#### **Special Instructions**

Digitization:--

See also:--

**Description**

Consists of departmental or unit records of regular performance reviews and annual work plans of individual employees. Does not include disciplinary records.

**Office of Primary Responsibility**

Department or unit of employee

**Retention Summary**

Retain in unit for maximum 3 years post termination.

**Final Disposition**

D

**Retention Rationale**

Retention based on current operational use.

**Filing Notes/Location****PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization:--

See also:--

## PAY, TIME and LEAVE MANAGEMENT

| HUM-25   | Payroll | HUMAN RESOURCES | 2025-05 |
|--|---------|-----------------|---------|
| <b>Description</b>   |         |                 |         |
| Consists of records relating to payroll management and to payments made by the University. Records may include payroll reports, time and scheduling documentation, wage documentation, benefit documentation, tax forms, banking forms, correspondence and all other records of payments to employees at the University. |         |                 |         |
| <b>Office of Primary Responsibility</b>  |         |                 |         |
| Human Resources – Payroll Services   |         |                 |         |
| <b>Retention Summary</b>   |         |                 |         |
| Retain 7 years from fiscal year of creation.   |         |                 |         |
| <b>Final Disposition</b>   |         |                 |         |
| D  |         |                 |         |
| <b>Retention Rationale</b>   |         |                 |         |
| Income Tax Act, R.S.C., 1985, c.1<br>Employment Standards Act, S.O. 2000, c.15, s. 15 (1)  |         |                 |         |
| <b>Filing Notes/Location</b>   |         |                 |         |
| <b>PIB</b>   |         |                 |         |
| Yes  |         |                 |         |
| <b>Secondary Copies</b>  |         |                 |         |
| Pay management records are the primary responsibility of Human Resources. Department or unit copies of pay and time management records should be retained for 3 years from fiscal year of creation and then securely destroyed.  |         |                 |         |
| <b>Special Instructions</b>  |         |                 |         |
| Digitization:--  |         |                 |         |
| See also: For <i>Employee Files (Department/unit copies)</i> , see: HUM-23.  |         |                 |         |

**Description**

Consists of records relating to approved leave of absences from work covering pregnancy, parental, sick, family responsibility, bereavement, declared emergency, infectious disease emergency, family caregiver, family medical, critical illness, organ donor, reservist, domestic or sexual violence, child death, and crime-related child disappearance. May include medical notes or certificates, attendance reports, seniority calculations, designated paid holidays, return to work plans and accompanying documentation, supporting forms for accommodations and functional abilities, and special types of leaves.

**Office of Primary Responsibility**

Human Resources – Benefits and Leave/Accommodation

**Retention Summary**

Retain 7 years from fiscal year of creation.

**Final Disposition**

D

**Retention Rationale**

Income Tax Act, R.S.C., 1985, c.1

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

Leave management records are the primary responsibility of Human Resources. Employees must submit their medical notes or certificates directly to Human Resources and not through their department. Departments must not retain any medical absence documentation.

**Special Instructions**

Digitization: Hard copy records may be replaced by digitized copies stored in official repository locations. Destroy hard copy records after digitization.

See also:       For *Vacation Pay Records*, see: HUM-27.  
                  For *Non-Medical Accommodation*, see: HUM-28.

**Description**

Consists of records documenting vacation pay earned and paid to employees during corresponding vacation entitlement year as well as supporting documentation related to the calculation and administration of said pay.

**Office of Primary Responsibility**

Human Resources – Benefits and Leave/Accommodation

**Retention Summary**

Retain 7 years from fiscal year of creation.

**Final Disposition**

D

**Retention Rationale**

Income Tax Act, R.S.C., 1985, c.1

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization: Hard copy records may be replaced by digitized copies stored in official repository locations. Destroy hard copy records after digitization.

See also: For *Vacation Pay Records*, see: HUM-27.  
For *Non-Medical Accommodation*, see: HUM-28.

**Description**

Consists of records documenting temporary non-medical accommodations provided to employees. Records may include agreements, related correspondence, and supporting documentation.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain for 3 years from termination of agreement.

**Final Disposition**

D

**Retention Rationale**

Retention based on anticipated operational need.

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization: Hard copy records may be replaced by digitized copies stored in official repository locations. Destroy hard copy records after digitization.

See also: --



**Description**

Consists of records documenting temporary agreements provided to employees to access flexible work hours or locations. Records may include agreements, related correspondence, and supporting documentation.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain record in unit for an additional year after replacement by succeeding arrangement.

**Final Disposition**

D

**Retention Rationale**

Retention based on anticipated operational need.

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

**Description**

Consists of records documenting union leave process and periods for individual employees of bargaining units.

**Office of Primary Responsibility**

Human Resources – Staff and Labour Relations (Professional Services)

**Retention Summary**

Retain record in unit for duration of collective agreement in place at creation plus the life of the immediate succeeding arrangement.

**Final Disposition**

D

**Retention Rationale**

Retention based on anticipated operational need.

**Filing Notes/Location**

--

**PIB**

Yes

**Secondary Copies**

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**Special Instructions**

Digitization: --

See also: --

## BENEFITS and CLAIMS

|   |  |                        |                |
|---|--|------------------------|----------------|
| <b>HUM-31</b>   | <b>Workplace Safety and Insurance Board<br/>Claims and Appeals</b> | <b>HUMAN RESOURCES</b> | <b>2025-05</b> |
| <b>Description</b>  |  |                        |                |
| Consists of records documenting incidents of injury, illness, or accidents that occur in the workplace or in the delivery of work duties. Records may include employee or site incident reports, WSIB forms, medical, accommodation, and rehabilitation reports and documentation, return to work plans, notes, submissions to benefit providers, documentation supporting appeals, and any related correspondence of significance. |  |                        |                |
| Also includes any claims and appeals of unpaid student placements.  |  |                        |                |
| <b>Office of Primary Responsibility</b>   |  |                        |                |
| Human Resources – WSIB  |  |                        |                |
| <b>Retention Summary</b>  |  |                        |                |
| Active – Records are active for term of employment + 2 years after termination.   |  |                        |                |
| Inactive – Retain for 48 years.   |  |                        |                |
| <b>Final Disposition</b>  |  |                        |                |
| D   |  |                        |                |
| <b>Retention Rationale</b>  |  |                        |                |
| Workplace Safety and Insurance Act, 1997, S.O. 1997, c. 16, Sched. A.   |  |                        |                |
| <b>Filing Notes/Location</b>  |  |                        |                |
| Inactive records should be maintained with the official employee file.  |  |                        |                |
| <b>PIB</b>  |  |                        |                |
| Yes   |  |                        |                |
| <b>Secondary Copies</b>   |  |                        |                |
| --  |  |                        |                |
| <b>Special Instructions</b>   |  |                        |                |
| Digitization: Hard copy records may be replaced by digitized copies stored in official repository locations. Destroy hard copy records after digitization.  |  |                        |                |
| See also: --  |  |                        |                |

**Description**

Consists of records documenting the management of benefit plans for Carleton employees. Includes reporting and review records, documentation of major issues, correspondence of significance, quotes, and reporting received by service providers.

**Office of Primary Responsibility**

Human Resources – Benefits and Leave/Accommodation

**Retention Summary**

Active – Records are active for term of employment + 2 years after termination.  
Inactive – Retain for 48 years.

**Final Disposition**

D

**Retention Rationale**

Workplace Safety and Insurance Act, 1997, S.O. 1997, c. 16, Sched. A.

**Filing Notes/Location**

Inactive records should be maintained with the official employee file.

**PIB**

Yes

**Secondary Copies**

--

**Special Instructions**

Digitization: Hard copy records may be replaced by digitized copies stored in official repository locations. Destroy hard copy records after digitization.

See also: --

### Description

Consists of records relating to the administration of pension and benefits programs directly with individual employees of the university, specifically:

1. Employees paying into and collecting pension benefits.
2. Retired employees who opted to transfer pensions out of Carleton University's plan but who are still covered under extended health benefits.†

Records may include plan enrolment forms, beneficiary designation/spousal declaration forms, annual statements, retirement/termination statements, election options, payment/transfer/buyback information, pension calculation, non-transient correspondence documenting major decisions, and general information on plans.

### Office of Primary Responsibility

Human Resources

### Retention Summary

Retain in unit for length of plan membership + 50 years after completion of final pension payout (death of final beneficiary).

### Final Disposition

D

### Retention Rationale

Pension Benefits Act, R.S.O., 1990, c.8

Management and Retention of Pension Plan Records by the Administrator (A300-200) - Financial Services Commission of Ontario.

### Filing Notes/Location

Summary of retiree's pension history is retained permanently, currently electronically in Seclon.

### Secondary Copies

--

### Special Instructions

Digitization: --

See also: --

### **Description**

Consists of records relating to the administration of pension and benefits programs directly with individual employees of the university, specifically:

1. Former employees of Carleton University who request transfer of their pension out of the Carleton University plan.
2. Pension records of former employees who have terminated plan membership and deferred pension benefits.†

Records include plan enrolment forms, beneficiary designation/spousal declaration forms, annual statements, retirement/termination statements, election options, payment/transfer/buyback information, pension calculation, non-transient correspondence documenting major decisions, general information on plans, and pension adjustment reversals.

### **Office of Primary Responsibility**

Human Resources

### **Retention Summary**

Retain in unit for length of plan membership + 50 years after completion from final pension pay out.

### **Final Disposition**

D

### **Retention Rationale**

Canada Pension Act, R.S.C., 1985, c.8

Pension Benefits Act, R.S.O., 1990, c. p. 8

Management and Retention of Pension Plan Records by the Administrator - A300-200 (Financial Services Commission of Ontario)

Guideline No. 9: Searching for Un-locatable Members of a Pension Plan / Canadian Association of Pension Supervisory Authorities (Published: February 2019, Modified: June 2019)

### **Filing Notes/Location**

Summary of retiree's pension history is retained permanently, currently electronically in Seclon.

### **Secondary Copies**

--

### **Special Instructions**

Digitization: --

See also: --

**Description**

Records relating to the administration of Carleton University's pension plan as administered by the Pension Fund Management Office as well as those materials which are required filing records for legislated and accounting requirements. Includes pension plan materials as amendments, documentation of plan administration procedures, policies, and responsibilities of the administrator, employer and the Pension Committee, documents delegating the administration of the plan funds, documents related to the registration of the fund with applicable bodies, institutional copies of the information returns, filing forms, financial statements, and reports filed with the Financial Services Commission of Ontario (actuarial valuation reports, audited financial statements, statements of investment policies and procedures, requests for approval, election/declarations filed with FSCO, notices and certificates pertaining to registration, notices to members, and member booklets.

**Office of Primary Responsibility**

Office of Pension Fund Management

**Retention Summary**

Retain in unit as active for total of 10 years from creation.

**Final Disposition**

P

**Retention Rationale**

Canada Pension Act, R.S.C., 1985, c.8

Pension Benefits Act, R.S.O., 1990, c. p. 8

Management and Retention of Pension Plan Records by the Administrator - A300-200 (Financial Services Commission of Ontario)

**Filing Notes/Location**

Transfer to Corporate Records and Archives upon completion of active retention period.

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

**Description**

Plan records that relate to daily operations of the pension plan and pension fund. Records relate to pension and actuarial files such as pension adjustments for annual calculation for T4 submissions and reporting to Revenue Canada, annual analysis of employees pension data for entitlements.

**Office of Primary Responsibility**

Office of Pension Fund Management

**Retention Summary**

Retain in unit as active for a total of 7 years from creation.

**Final Disposition**

P

**Retention Rationale**

Income Tax Act (Canada), R.S.C., 1985, c.1 (5th Supp.), s. 230

Canada Pension Plan Act, R.S.C., 1985, c.8

Pension Benefits Act, R.S.O., 1990, c. p 8

Management and Retention of Pension Plan Records by the Administrator - A300-200 (Financial Services Commission of Ontario)

**Filing Notes/Location**

Transfer to Corporate Records and Archives upon completion of active retention period.

**Secondary Copies**

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**Special Instructions**

Digitization: --

See also: --