

# Carleton University Retention Schedule

## Section 6

### GOVERNANCE

Records and data in this category document the actions and obligations of the university's main governing bodies, the Board of Governors, the Senate, and the committees serving under and reporting to those bodies.

<a href="#">Retention Schedule Instructions</a>	2
GOV-00 <a href="#">University Policies, Procedures, and Standards</a>	3
GOV-01 <a href="#">Reports and Statistics</a>	4
GOV-02 <a href="#">Project and Program Management</a>	5
GOV-03 <a href="#">Committees</a>	6
GOV-04 <a href="#">University Governance</a>	7
GOV-05 <a href="#">Board of Governors</a>	8
GOV-06 <a href="#">Board of Governors - Committees</a>	9
GOV-07 <a href="#">Senate</a>	10
GOV-08 <a href="#">Senate - Committees</a>	11
GOV-09 <a href="#">Senior Executive Search Committees</a>	12
<a href="#">GOV-09-CRR-01 – Senior Executive Search Records</a>	13
GOV-10 <a href="#">Pension Committee Management</a>	14
GOV-11 <a href="#">Investment Committee Management</a>	15
GOV-12 <a href="#">Nominations Administration</a>	16
GOV-13 <a href="#">Elections Governance</a>	17
GOV-14 <a href="#">Governance Orientation</a>	18

## CORPORATE RECORDS & ARCHIVES

## Retention Schedule Instructions

Rule No.	Rule Name	SECTION NAME	Implementation Date
<b>Description</b> 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> 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> Summary of the length of time you must retain records in this rule after it is no longer active.			
<b>Final Disposition</b> 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> 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> Additional instructions for retention or disposition or instructions on handling edge cases in the records covered by the rule.			
<b>Secondary Copies</b> Instructions for record holders who are <b>not</b> the Office of Primary Responsibility.			
<b>Special Instructions</b> <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.

<b>GOV-00</b>	<b>University Policies, Procedures &amp; Standards</b>	<b>GOVERNANCE</b>	<b>2023-05</b>
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### Description

Consists of records relating to the establishment of university-wide or operational policies, procedures, and standards. Records may include policy proposals, surveys, correspondence, consultations, reports, final policy documents, and documentation on the management of university policies.

### Office of Primary Responsibility

- University Governance Secretariat
- Unit responsible for management of policy

### Retention Summary

1. University Secretariat retains policy versions permanently.
2. Unit responsible for management of policy retains for minimum of 5 years after policy is superseded or determined obsolete.

### Final Disposition

AR

### Retention Rationale

Retention based on anticipated operational use.

### Filing Notes/Location

--

### Secondary Copies

Policies and standards retained for reference by other units may be destroyed once no longer needed.

### Special Instructions

Digitization: --

See also: Retention of department-level policies and procedures is determined by the function of the policy. Contact Corporate Records and Archives for more information.

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**D** = Secure Destruction/Deletion.

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**Description**

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to university governance and operations. Does not include external reports and statistics used as reference.

**Office of Primary Responsibility**

- Designated unit
- Office of Institutional Research and Planning

**Retention Summary**

Retain in unit for 10 years after creation.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

The Office of Institutional Research and Planning (OIRP) is responsible for the management of original data and records supporting that data in the OIRP. Any reports prepared by OIRP at the request of other units are the retention and disposition responsibility of the requesting unit.

**Secondary Copies**

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

**Special Instructions**

Digitization: Hard copy reports may be replaced by digitized copies.

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

**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.

GOV-02

Project & Program Management

GOVERNANCE

2023-05

**Description**

Records made, received, or used by governance bodies to manage major projects. 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 after creation.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated 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**

--

**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 ad hoc committees, working groups, or task forces assigned duties pertaining to university governance, but which are not existing Board of Governors or Senate committees. Recorded information may include agendas, minutes, correspondence, reports, presentations, surveys, and working documentation.

**Office of Primary Responsibility**

Designated unit responsible for committee, task force, or working groups.

**Retention Summary**

Retain in unit for minimum of 5 years from creation.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated 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: *Senior Executive Search Committees – GOV-09*  
*Pension Management Committee – GOV-10*  
*Investment Committee – GOV-11*

**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 and other materials documenting the administration and management of the Carleton University Act, the university's by-laws, corporate seal, and the delegation of authority and signing authorities in support of governance of the university.

**Office of Primary Responsibility**

University Governance Secretariat

**Retention Summary**

Retain in unit for minimum of 5 years after superseded or obsolete.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

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**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

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**GOV-05**

**Board of Governors**

**GOVERNANCE**

**2023-05**

**Description**

Records related to proceedings and actions of Carleton University's Board of Governors, including the governance, conduct, management and control of the University and its property, revenues, expenditures, business, and affairs. Records may include agenda packages, minutes, reports, working papers, presentations, related documentation, and correspondence.

**Office of Primary Responsibility**

University Governance Secretariat

**Retention Summary**

Retain in unit for minimum of 3 years from creation.

**Final Disposition**

P - Records must be transferred to Corporate Archives upon final disposition.

**Retention Rationale**

Carleton University Act

**Filing Notes/Location**

Recent copies of the minutes of the Board of Governors are available to the public through the Board of Governors' website. Older minutes are available upon request through the University Secretariat.

**Secondary Copies**

Destroy transitory copies held as reference when no longer needed.

**Special Instructions**

Digitization: Approved minutes of the Board of Governors are printed, signed and dated by the University Secretary. Digital copies of these approved minutes are indicated as "Final" in PDF format.

See also: *Board of Governors Committees – GOV-06*  
*Senate Committees – GOV-08*

**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 related to the proceedings and actions of the standing committees of the Board of Governors, tasked with the governance, management, and control of the University, its property, revenues, expenditures, business, and affairs. Records may include agenda packages, minutes, reports, working papers, presentations, related documentation, and correspondence.

**Office of Primary Responsibility**

University Governance Secretariat

**Retention Summary**

Retain in unit for minimum of 3 years from creation.

**Final Disposition**

P - Records must be transferred to Corporate Archives upon final disposition.

**Retention Rationale**

Carleton University Act

**Filing Notes/Location**

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**Secondary Copies**

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

**Special Instructions**

Digitization: Approved minutes of Board of Governors committees are printed, signed and dated by the University Secretary. Digital copies of these approved minutes are indicated as "Final" in PDF format.

See also:      *Board of Governors – GOV-05*  
                  *Senate Committees – GOV-08*

**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.

GOV-07

Senate

GOVERNANCE

2023-05

**Description**

Records related to the proceedings and actions of Senate in the delivery of that body's governance of university curriculum, academic standards, program development, faculty/library promotion and tenure, degree granting, awards, admission, educational equity, academic integrity, and accommodations. Records include agenda packages, minutes, reports, working papers, presentations, related documentation, and correspondence.

**Office of Primary Responsibility**

University Governance Secretariat

**Retention Summary**

Retain in unit for minimum of 3 years from creation.

**Final Disposition**

P - Records must be transferred to Corporate Archives upon final disposition.

**Retention Rationale**

Carleton University Act

**Filing Notes/Location**

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**Secondary Copies**

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

**Special Instructions**

Digitization: Approved minutes of the Senate are identified as "final" in their electronic format.

See also: *Board of Governors* – **GOV-05**  
*Board of Governors Committees* – **GOV-06**  
*Senate Committees* – **GOV-08**

**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 related to the proceedings, and actions of the standing committees of Senate. Records may include agendas, minutes, reports, working papers, presentations, committee member information, related documentation, and correspondence.

**Office of Primary Responsibility**

University Governance Secretariat

**Retention Summary**

Retain in unit for minimum 3 years from creation.

**Final Disposition**

P - Records must be transferred to Corporate Archives upon final disposition.

**Retention Rationale**

Carleton University Act

**Filing Notes/Location**

Each committee is responsible for depositing committee records regularly with the University Secretariat, including an annual report.

**Secondary Copies**

Committee Chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members, including secure destruction of secondary copies when no longer required.

**Special Instructions**

Digitization: --

See also: Sub-retention rules exist for each standing committee of Senate. Please contact the Corporate Records and Archives Department for more information.

**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 the proceedings of competitions for senior executive and senior administration of the university, including Chancellor, President, and Vice-Presidents. Records may include committee protocols and procedures, membership lists, minutes, agendas, job descriptions and postings, evaluation and ranking rubrics, research and reference materials, reports and correspondence from third-party search vendors, interview questions and answers, curriculum vitae and publications, reference letters, and other supporting documentation.

**Office of Primary Responsibility**

University Governance Secretariat

**Retention Summary**

Retain in unit for 1 year after confirmation of successful candidate.

**Final Disposition**

1. Successful candidates – AR (Select records from successful candidates may be incorporated into the incumbent's personnel file held by relevant unit or within the permanent archival holdings of the university).
2. Unsuccessful candidates - D

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

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**Secondary Copies**

Committee chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members, including secure destruction of secondary copies when no longer needed.

**Special Instructions**

Digitization: --

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

**P** = Permanent. Transfer to Corporate Archives.

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<b>GOV-09</b>	<b>Senior Executive Search Records</b>	<b>Governance</b>	
<b>CRR #</b>	<b>Record Type</b>	<b>Retention Period*</b>	<b>Final Disposition</b>
GOV-09-01	Signed confidentiality agreement/statement forms from committee members	12 months	D
GOV-09-02	Quotes from competing search firms	Completion of search	D
GOV-09-03	Letter of engagement, invoices, contracts with selected search firm	7 years	D
GOV-09-04	List of committee members	2 years	D
GOV-09-05	Final comms (e.g. call for nomination, request for input, invitations to town halls)	2 years	P
GOV-09-06	Final job ad and position profile	2 years	P
GOV-09-07	Applications of longlist candidates	12 months	D
GOV-09-08	Applications of shortlist candidates	2 years	D
GOV-09-09	Application of final candidate	2 years	P
GOV-09-10	Candidate report from search firm	12 months	D
GOV-09-11	Committee meeting agendas	2 years	P
GOV-09-12	Campus visit itineraries for shortlist	2 years	D
GOV-09-13	Shortlist candidate presentations and PPT	12 months	D
GOV-09-14	Recorded video of candidate presentations	12 months	D
GOV-09-15	Interview guides for longlist/shortlist candidates	2 years	P
GOV-09-16	Memo to President re Provost's final decision based on committee advice	2 years	P
GOV-09-17	Timeline outlining all points of engagement for committee and overview of process	2 years	P
GOV-09-18	Correspondence/Emails – committee members, Provost, candidates re: hiring process and interviews (except emails of significance negotiating contract and appointment of final candidate)	2 years	D

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**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 minutes of meetings, documentation of resolutions and motions, correspondence and memoranda documenting major decisions and changes to plans, communications with members, major policies and procedures, and membership documentation.

**Office of Primary Responsibility**

Office of Pension Fund Management

**Retention Summary**

Retain in unit for minimum 7 years from creation.

**Final Disposition**

P – Transfer to Corporate Archives when retention period complete.

**Retention Rationale**

Canada Pension Plan Act (RSC 1985, c. 8)

Pension Benefits Act (RSO, 1990, c. P. 8)

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

**Filing Notes/Location**

--

**Secondary Copies**

Committee Chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members.

**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 of minutes of meetings, documentation of resolutions and motions, correspondence and memoranda documenting major decisions and changes to pension investments, communications with members, major policies and procedures.

**Office of Primary Responsibility**

Office of Pension Fund Management

**Retention Summary**

Retain in unit for minimum 7 years from creation.

**Final Disposition**

P – Transfer to Corporate Archives when retention period complete.

**Retention Rationale**

Canada Pension Plan Act (RSC 1985, c. 8)

Pension Benefits Act (RSO, 1990, c. P. 8)

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

**Filing Notes/Location**

--

**Secondary Copies**

Committee Chairs are responsible for proper records management of copies of documents (paper or electronic) distributed to members.

**Special Instructions**

Digitization: --

See also: --

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**Description**

Records documenting the organization of nominations and delivery of election periods for positions on the University's Board of Governors and Senate; including communication materials, correspondence, and supporting documentation for nominees.

**Office of Primary Responsibility**

University Secretariat

**Retention Summary**

1. Records on unsuccessful candidates retained in unit for 1 year after election finalized (successful candidate confirmed to governance body).
2. Records of successful candidates retained in unit for length of term of service.

**Final Disposition**

1. D – Unsuccessful candidates.
2. P – Successful candidates. Transfer to Corporate Archives upon termination of service.

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

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**D** = Secure Destruction/Deletion.

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**Description**

Consists of records documenting election process for positions on both the University's Board of Governors and Senate. May include ballots, correspondence, reports and summaries of election results.

**Office of Primary Responsibility**

University Secretariat

**Retention Summary**

1. Retain ballots and significant correspondence in unit for 1 year after confirmation of election results.
2. Retain summary of election results in unit for 1 year after confirmation of election results.

**Final Disposition**

1. D – Ballots and correspondence.
2. AR – Summary or report of election results and all other supporting records.

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

**AR** = Corporate Records & Archives must review.

**D** = Secure Destruction/Deletion.

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**Description**

Consists of records created for the purposes of orienteering new members of either the University's Board of Governors, Senate, or those two bodies' standing committees. Includes correspondence, presentations, webinars, and handbooks.

**Office of Primary Responsibility**

University Secretariat

**Retention Summary**

Retain in unit for minimum 1 year from delivery of orientation.

**Final Disposition**

AR

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

--

**Secondary Copies**

--

**Special Instructions**

Digitization: --

See also: --

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**GOV-15**      **Faculty Board Governance**                      **GOVERNANCE**                      **Pending**

**Description**

Records related to the structure and function of the university's faculty boards or equivalent bodies. Includes terms of reference, constitutions, procedures, regulations, by-laws, and any special project management.

**Office of Primary Responsibility**

Office of the Dean of the Faculty Board

**Retention Summary**

Retain in unit for minimum 3 years from creation dependent on operational need.

**Final Disposition**

P - Records must be transferred to Corporate Archives upon final disposition.

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

*Website use*

**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.

**GOV-16**                      **Faculty Board**                      **GOVERNANCE**                      **Pending**

**Description**

Records consisting of agendas, minutes, reports, working documents, and memoranda of the faculty boards or equivalent bodies.

**Office of Primary Responsibility**

Office of the Dean of the Faculty Board

**Retention Summary**

Retain in unit for minimum 3 years from creation.

**Final Disposition**

P - Records must be transferred to Corporate Archives upon final disposition.

**Retention Rationale**

Retention based on anticipated operational use.

**Filing Notes/Location**

*Intranet site*

*Minutes saved by Sara Mohammed and kept by Board secretary*

**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.