CORPORATE RECORDS & ARCHIVES

Carleton University Retention Schedule

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Carleton University

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Summary of the length of time you must retain records in this rule after it is no longer active.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

Digitization: Any instructions related to the digitization of hard copy records.
See also: 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.

Carleton University Retention Schedule

Section 1

ADMINISTRATION

Records and data in this category document major administrative functions for all work units at the university. Retention scheduling for this section covers major agreements such as contracts and leases, legal services and documentation, regulatory control of the university, as well as the records and correspondence of the university's executive officers (President, Vice-Presidents, Deans).

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CORPORATE RECORDS & ARCHIVES

Carleton University

ADM-00 Policies, Procedures, & Standards ADMINISTRATION 2023-05

Description

Consists of records relating to the establishment of a unit's administrative policies, procedures, and standards. 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 a unit's operating procedures and are determined. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

Does not include university-wide policies governed by the Board of Governors or Senate.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain until superseded. D

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.

ADM-01	Reports & Statistics	ADMINISTRATION	2023-05

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to administration and delivery of mandate. Does not include transitory external reports and statistics used as reference.

Office of Primary Responsibility

Designated unit.

Retention Summary

Retain in unit for minimum 5 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: Hard copy reports may be replaced by digitized versions.

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.

ADM-02	Project and Program Management	ADMINISTRATION	2023-05

Description

Records made, received, or used by units in support of their programs, functions, activities, and operations. 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 minimum 3 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: Hard copies may be destroyed when replaced with digitized versions.

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.

ADM-03	Committees	ADMINISTRATION	2023-05

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with administrative duties for departments or unit.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years from creation of record.

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

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.

ADM-04	Claims and Litigation	ADMINISTRATION	2017-06

Description

Consists of records related to legal proceedings and investigations dealt with or submitted to a court of law, administrative tribunal or regulator agency for or against the institution. Records may include legal correspondence and pleadings, statements, demands, directions, subpoenas and notices to appear, order, transcripts, settlements, discharges, rulings and related correspondence.

Office of Primary Responsibility

Office of University Legal Services
University Governance Secretary

Retention Summary

Retain in unit for 10 years past completion of claim, litigation, or issue.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.
Guide to Retention and Destruction of Closed Client Files for Lawyers. Law Society of Ontario.

Filing Notes/Location

--

Secondary Copies

University units subject to the claim, litigation, or issue should contact Corporate Records & Archives prior to the disposition of any records.

Special Instructions

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

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.

ADM-05	Contracts and Agreements	ADMINISTRATION	2017-06

Description

Consists of signed contracts or agreements with either (i) a total value that is greater than $100,001, (ii) the total value is less than $100,001 but the initial term is five years or greater, or (iii) potentially expose the university to significant risk. Records may include construction contracts, purchase contracts, employment contracts, and gift agreements. May also include documents confirming insurance coverage.

Office of Primary Responsibility

University Governance Secretariat
Units responsible for contract

Retention Summary

Retain in Secretariat for 10 years past completion of contract.

Final Disposition

P

Retention Rationale

Carleton University Signing Authorities Policy (2023)
Retention based on anticipated operational use.

Filing Notes/Location

Per the Signing Authorities Policy, units must deposit signed contracts and agreements that meet threshold for monetary value or risk with the University Governance Secretary upon signing.

Secondary Copies

Units that are responsible for contracts should generally retain copies of contracts until superseded or until 1 year after contract has expired or action completed.

Special Instructions

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: For contracts and agreements related to Research, see: ***RES-07***.
For proposals related to Research, see: ***RES-05***.
For contracts related to gifts and gifts-in-kind, see: ***CAM-05.***

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.

ADM-06	Department Management	ADMINISTRATION	2017-06

Description

Consists of records related to the day-to-day administration of university departments and units. These records may include office visit logs, general correspondence, checklists, mailing and shipping records, non-expense related travel records, documentation concerning staff and team meetings, and other general administrative duties.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 1 year from creation unless required longer for operational use.

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.

ADM-07	Executive Files & Correspondence	ADMINISTRATION	2017-06

Description

Consists of records created by executive personnel of the university: President, Vice-Presidents, Deans, and other designated associate vice-presidents. Records may include correspondence (hard copy and email), reports, directives, correspondence, and critical decision-making documentation.

Office of Primary Responsibility

Office of the President
Office of the Provost and Vice-President (Academic)
Office of the Vice-President (Finance and Administration)
Office of the Vice-President (Students and Enrolment)
Office of the Vice-President (Research and International)
Office of the Dean (All faculties)
Designated Associate Vice-Presidents

Retention Summary

Retain in unit for minimum 5 years, dependent on operational needs, after completion of individual's tenure in executive position.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

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.

ADM-08	Laws and Regulations	ADMINISTRATION	2017-06

Description

Consists of records pertaining to and supporting any laws and regulations that govern the university. These records relate to provincial/federal government legislation and regulations. May include meeting and report documentation, drafts, and correspondence.

Office of Primary Responsibility

University Governance Secretariat

Retention Summary

Retain in unit for 2 years after superseded.

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.

ADM-09	Leases	ADMINISTRATION	2017-06

Description

Consists of records related to the administration of leases and agreements made between the university and outside organizations. Records may include leases and agreements, copies of deeds and property insurance. Does not include real estate or construction contracts.

Office of Primary Responsibility

University Governance Secretariat
Units responsible for leases

Retention Summary

Retain in unit for length of lease or agreement plus 10 years after termination.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

Involved units should contact the University Governance Secretariat before disposing of any records.

Special Instructions

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

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.

ADM-10	Legal Opinions	ADMINISTRATION	2017-06

Description

Consists of records related to advice, opinions, and background on matters of a legal concern. Records may include interpretation by internal or external counsel of legislation, regulations, contracts, related documentation and correspondence.

Office of Primary Responsibility

Office of University Legal Services

Retention Summary

Retain in unit for 5 years after closure of file or settlement of issue.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.
Guide to Retention and Destruction of Closed Client Files for Lawyers. Law Society of Ontario.

Filing Notes/Location

--

Secondary Copies

Upon completion of retention, units receiving the legal advice should transfer records covered under this rule to Corporate Records and Archives for archival review.

Special Instructions

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

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.

ADM-11	Planning	ADMINISTRATION	2017-06

Description

Consists of records related to a unit's role in developing short or long-term plans, either university-wide or specific to the unit's area of influence. Records may include instructions from university officers, statements of objectives and goals, proposals, surveys, working papers, reports, plans, and related documentation.

Office of Primary Responsibility

Designated unit.

Retention Summary

Retain in unit for 5 years after planning implemented or superseded by new planning process.

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: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

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.

ADM-12	Intellectual Property	ADMINISTRATION	2017-06

Description

Consists of records relating to copyright for works produced or acquired by the university, patents where the university holds rights, establishment of legal ownership of trademarks or industrial designs in the university's name. Records may include assignment of rights, licenses, administrative forms, certificates, technical drawings, correspondence, and accompanying documentation.

Office of Primary Responsibility

University Governance Secretary
Office of University Legal Services

Retention Summary

Retain in unit as long as rights, license, and/or authorizations are in effect.

Final Disposition

P

Retention Rationale

Retention based on life of active record.

Filing Notes/Location

--

Secondary Copies

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

Special Instructions

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

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.

Carleton University Retention Schedule

Section 2 - CAMPUS OPERATIONS

Records and data in this category document essential business services of the university, including environmental health and safety, health and counselling services, athletics and recreation, residence services, and events, food services.

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Health and Care Support		
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Athletics and Recreation		
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Student Life		
Accommodation, Residences, and Housing	CAM-05	8
Event and Campus Management		
Conference Planning and Management	CAM-07	10
Events Management	CAM-08	11
Food and Beverage Services	CAM-09	12
Liquor Licenses	CAM-10	13
Mail and Delivery	CAM-11	14
Insurance and Risk Management		
Trespass Notices and Appeal Records	CAM-15	18
Insurance Policies	CAM-16	19
Insurance Claims	CAM-17	20
Risk Assessments	CAM-18	21
University Risk Management and Audits	CAM-19	22
Permission and Waiver Forms	CAM-20	23
Confidentiality Forms	CAM-21	24
Emergency Response Management	CAM-22	25
Fire Safety Devices and Systems Inspection	CAM-23	26
Emergency Evacuation Drill Reports	CAM-24	27
Fire Safety Inspection	CAM-25	28
Fire Safety Training	CAM-26	29
Fire Safety Plans	CAM-27	30
Student Events Risk Management System	CAM-33	36

Equity and Inclusive Communities		
Human Rights Case Files – Equity and Inclusive Communities	CAM-28	31
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CORPORATE RECORDS & ARCHIVES

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-00 Policies, Procedures & Standards CAMPUS OPERATIONS 2023-05

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.

CAM-01	Reports and Statistics	CAMPUS OPERATIONS	2023-05

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.

CAM-02 Program & Project Management CAMPUS OPERATIONS 2023-05

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.

CAM-03	Committees	CAMPUS OPERATIONS	2023-05

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.

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.

CAM-07	Conference Planning & Management	CAMPUS OPERATIONS	2017-16

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.

CAM-08	Events Management	CAMPUS OPERATIONS	2017-16

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.

CAM-09 Food and Beverage Services CAMPUS OPERATIONS 2017-16

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.

CAM-10	Liquor Licenses	CAMPUS OPERATIONS	2017-16

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.

CAM-11	Mail and Delivery	CAMPUS OPERATIONS	2017-16

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.

CAM-12	Medical Billings	CAMPUS OPERATIONS	2017-16

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.

CAM-13	Patient Health Records	CAMPUS OPERATIONS	2017-16

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.

CAM-14 Physician & Nursing Records CAMPUS OPERATIONS 2017-16

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.

CAM-15	Trespass Notices & Appeal Records	CAMPUS OPERATIONS	2022-04

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.

CAM-16	Insurance Policies	CAMPUS OPERATIONS	2024-03

Description
Records consisting of insurance policies, premium notices, premium receipts/invoices, broker and insurer agreements, related documentation and correspondence.

Office of Primary Responsibility
Office of Risk Management

Retention Summary
Retain in unit for minimum of 10 years from expiration of policy.

Final Disposition
AR/P

Retention Rationale
Retention based on current operational use.

Filing Notes/Location
--

PIB
--

Secondary Copies
Transitory. Destroy 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.

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-17	Insurance Claims	CAMPUS OPERATIONS	2024-03

Description

Records related to the investigation, management, and processing of claims for automobile, property, buildings and contents. Includes claim documentation, requests for proof of insurance coverage, incident reports and supporting documentation, and correspondence.

Office of Primary Responsibility

Office of Risk Management

Retention Summary

Retain in unit for 15 years from file closed.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

PIB

Yes

Secondary Copies

--

Special Instructions

Digitization: --
See also: For *Legal Opinions*, see ADM-10.

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-18	Risk Assessments	CAMPUS OPERATIONS	2024-03

Description

Records created and/or received and used in the process of assessment and mitigation of risk associated with the university campus, buildings, events held at and/or by the university, and any issues that may affect operations, staff, or students of Carleton University. Records may include but are not limited to, threat risk assessments, and recommendations, evaluation of recommendations, decisions, correspondence, and notes.

Office of Primary Responsibility

Office of Risk Management

Retention Summary

Retain in unit for 10 years from completion of assessment or until superseded by new assessment.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

PIB

No

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-19	University Risk Management and Audit	CAMPUS OPERATIONS	2024-03

Description

Records documenting the management of risk at the university as well as internal risk audits of the school. Includes documentation requested by and provided to auditors, correspondence of significance, final audit reports, and any supporting documentation.

Office of Primary Responsibility

Office of Risk Management
University Governance Secretariat

Retention Summary

Retain in unit for 10 years from completion of audit.

Final Disposition

AR/P

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

PIB

No

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-20	Permission and Waiver Forms	CAMPUS OPERATIONS	2025-11

Description

Records including waivers, release forms, permission forms (including photography and audio visual recording permissions) for events, consent to publish, field trips, volunteerism, activities, advancement, athletics and recreation events managed by Carleton University.

Office of Primary Responsibility

Unit responsible for managing event and collection of waivers and permission forms.

Retention Summary

Retain in unit for 12 years after completion of event OR 12 years from the age of majority if form documents the participation of a minor.

Final Disposition

D

Retention Rationale

Waiver and Guidelines Handbook. Canadian Universities Reciprocal Insurance Exchange.

Filing Notes/Location

Retain photography and audio-visual recording permissions with materials transferred to Corporate Records and Archives for permanent preservation.

Secondary Copies

--

Special Instructions

Digitization: Executed paper forms may be replaced by digitized versions. Securely destroy paper copies once digitized and appropriately stored in unit repository.

See also: For *Confidentiality Agreements*, see: CAM-21.

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-21	Confidentiality Agreements	CAMPUS OPERATIONS	2025-11

Description

Records documenting executed confidentiality agreements for staff (in all employment categories), volunteers, and Board members who access confidential university information as part of the delivery of their associated duties with Carleton. Includes delivery of confidential information in oral or written form, in all media and formats.

Office of Primary Responsibility

Unit responsible for individual signing confidentiality agreement.

Retention Summary

Retain in unit for 10 years after the signee has last access to confidential information.

Final Disposition

D

Retention Rationale

Retention based on operational requirements.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: Executed paper forms may be replaced by digitized versions. Securely destroy paper copies once digitized and appropriately stored in unit repository.

See also: For *Permission and Waiver Forms*, see: CAM-20.

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-22	Emergency Response Management	CAMPUS OPERATIONS	2024-03

Description

Records documenting the management and execution of emergency response measures. Includes emergency response plans, related risk assessments, post-incident reporting, correspondence of significance, as well as Business Continuity and Resilience program plans.

Office of Primary Responsibility

Office of Risk Management

Retention Summary

- Retain in unit for 5 years from last action.
- Business and Continuity and Resilience plans must be maintained ongoing. Retain succeeding plan for 5 years after replacement.

Final Disposition

AR

Retention Rationale

Retention based on operational requirements.

Filing Notes/Location

--

Secondary Copies

Other departments may keep only their most recent Business and Resilience plan.

Special Instructions

Digitization: --

See also: For *Fire Safety Plans*, see: CAM-27.
For *Risk Assessments*, see: CAM-18

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-23	Fire Safety Devices & Systems Inspection	CAMPUS OPERATIONS	2026-05

Description

Records consisting of checks, inspections, and testing of fire safety devices including sprinkler systems, smoke alarms, and other fire protection systems.

Office of Primary Responsibility

Office of Risk Management

Retention Summary

Retain for 2 years from testing.

Final Disposition

D

Retention Rationale

Fire Protection and Prevention Act, 1997, S.O. 1997. O.Reg. 213/07: Fire Code - 2.8.3.4 (2) - Fire Drills - Records.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Emergency Evacuation Drill Reports,* see: CAM-24.

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-24	Emergency Evacuation Drill Reports	CAMPUS OPERATIONS	2026-05

Description

Records documenting every fire drill held for buildings on the Carleton University campus, reported back to the Ottawa Fire Chief.

Office of Primary Responsibility

Office of Risk Management

Retention Summary

Retain in unit for 12 months from drill.

Final Disposition

D

Retention Rationale

Fire Protection and Prevention Act, 1997, S.O. 1997. O.Reg. 213/07: Fire Code - 2.8.3.4 (2) - Fire Drills - Records.

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-25	Fire Safety Inspection	CAMPUS OPERATIONS	2026-05

Description

Records documenting fire safety inspections and any accompanying records supporting action taken due to inspections.

Office of Primary Responsibility

Office of Risk Management

Retention Summary

Office of Risk Management

Final Disposition

D

Retention Rationale

Fire Protection and Prevention Act, 1997, S.O. 1997. O.Reg. 213/07: Fire Code - 1.1.2.2 - Retention of Records

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-26	Fire Safety Training	CAMPUS OPERATIONS	2026-05

Description

Records documenting fire safety training for Carleton staff, including fire safety training for the Carleton Emergency Response Team members.

Office of Primary Responsibility

Office of Risk Management

Retention Summary

Retain in unit for 2 years from completion of training.

Final Disposition

D

Retention Rationale

Fire Protection and Prevention Act, 1997, S.O. 1997. O.Reg. 213/07: Fire Code - 1.1.2.2 - Retention of Records

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-27	Fire Safety Plans	CAMPUS OPERATIONS	2026-05

Description

Records supporting the planning and delivery of fire safety planning and procedures for each building on the Carleton University campus.

Office of Primary Responsibility

Office of Risk Management

Retention Summary

Plans must remain active. Retain immediately preceding plan along with active plan.

Final Disposition

D

Retention Rationale

Fire Protection and Prevention Act, 1997, S.O. 1997. O.Reg. 213/07: Fire Code - 2.8.2.1 (8) - Fire Safety Plans

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-28 Human Rights Case Files – EIC CAMPUS OPERATIONS 2026-05

Description

Consists of records documenting formal and informal complaints of harassment or discrimination and any resulting advisory and guidance services provided by Equity and Inclusive Communities to the Carleton community (students, staff, and faculty). Includes, but not limited to, intake information, case notes, records of case resolutions, correspondence, and records detailing consultations with university departments and external bodies such as the police, community partners, and the Ontario Human Rights Commission.

Office of Primary Responsibility

Equity and Inclusive Communities

Retention Summary

Retain for 10 years from resolution of case or last action.

In reviewing records for final disposition, Equity and Inclusive Communities can extend the retention period for cases that affect ongoing operations or that have been identified for legal hold.

Final Disposition

AR (Archival Review required prior to secure destruction).

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: *Informal Conflict File* (Human Resources), HUM-15
Formal Conflict File (Human Resources), HUM-16

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-29	Consultation Services - EIC	CAMPUS OPERATIONS	2026-05

Description

Consists of information tracking advisory requests and records of consultations made by Equity and Inclusive Communities for Carleton University departments. May include intake information, correspondence, notes, and reports.

Office of Primary Responsibility

Equity and Inclusive Communities

Retention Summary

Retain in unit for 10 years from delivery of final advisory services.

Final Disposition

AR (Archival Review required prior to secure destruction).

Retention Rationale

Retention based on operational requirements.

Filing Notes/Location

--

Secondary Copies

Secondary copies may be located within units making advisory requests. These records should be retained for a minimum of 10 years from delivery of advisory service but retention should be extended as operationally required.

Special Instructions

Digitization: --

See also: *Human Rights Case Files – EIC,* CAM-34

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-30	EIC – Training & Education	CAMPUS OPERATIONS	2026-05

Description

Consists of planning documents and correspondence supporting education, training, and awareness of equity and inclusivity efforts at Carleton University.

Office of Primary Responsibility

Equity and Inclusive Communities

Retention Summary

Retain in unit for minimum 1 year from event or as operationally needed.

Final Disposition

AR – Corporate Records and Archives may sample materials for archiving.

Retention Rationale

Retention based on operational requirements.
Ministry of Colleges, Universities, Research Excellence and Security, R.S.O., 1990, O.Reg. 131/16: Sexual Violence at Colleges and Universities, s. 5

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-31	EIC - Sexual Violence Response	CAMPUS OPERATIONS	2026-05

Description

Consists of records documenting reports of sexual violence. May include intake notes, case notes and case management records, records of case resolutions, documentation of support provided to individuals, and correspondence and records detailing consultations with police and community partners.

Office of Primary Responsibility

Equity and Inclusive Communities

Retention Summary

Retain in unit for 10 years from last action on file and transfer to Corporate Records & Archives for an additional 50 years.

Records must be reviewed upon completion of period for any ongoing retention requirements including, but not limited to, active investigations by law enforcement agencies or the university, as well as legal holds.

Final Disposition

AR

Retention Rationale

Carleton University Sexual Violence Policy
Retention based on current operational practice and the Ottawa Police Service Records Retention Scheduling.
Limitations Act, S.O., 2002, s. 24, Sched. B s. 16 (1h)

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --
See also: *Security & Incident Case Files (Sexual Violence),* SAS-06.

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-32	EIC – Reporting	CAMPUS OPERATIONS	2026-05

Description

Records consist of the reporting created and issued by Equity and Inclusive Communities, both internal and external, to meet requirements under university policy and procedures as well as statutory regulations. May include, but not limited to, annual reports to the university Board of Governors as well as reporting to government agencies such as the Ministry of Colleges, Universities, Research Excellence, and Security.

Office of Primary Responsibility

Equity and Inclusive Communities

Retention Summary

Retain in unit for minimum of 10 years unless required for ongoing operational need.

Final Disposition

P – Transfer to Corporate Records & Archives for permanent preservation.

Retention Rationale

Retention based on current operational need.

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-33	Student Events Risk Management System	Campus Operations	2024-03

Description

Consists of records and data that capture the risk management review and approval process for events held at Carleton University, including notes, confirmation of approval or denial of event, and any other information used by staff reviewing the event submissions.

Office of Primary Responsibility

Office of the Vice-President (Students and Enrolment) – Student Experience Office
Office of Risk Management

Retention Summary

Retain in unit 2 years from confirmation of approval or denial of event submission.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.
FIPPA, s. 40 (1), Reg. 460 (5)

Filing Notes/Location

- Aggregate summaries or reports created by survey data may be retained longer based on operational needs.

Secondary Copies

- Ensure that all duplicates are disposed of by completion of retention period.

Special Instructions

Digitization: Web and other electronic forms may be exported to a stable format (e.g. excel) for the purposes of operational use and retention.

See also: For *Research Ethics*, see: RES-09 – RES-10.
For *Permission and Waiver Forms,* CAM-20.

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.

Carleton University Retention Schedule

Section 3

COMMUNICATIONS, ADVANCEMENT & COMMUNITY ENGAGEMENT

Records and data in this category document materials created and used as part of the university's internal and external communications, public relations, and community engagement and service efforts. Records under this category include communication and public relations efforts from all units across the university (not just exclusive to Department of University Communications), alumni and donor stewardship, special and major events of the university.

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Carleton University

COM-00	Policies, Procedures & Standards	Communications, Advancement, & Community Engagement	2023-05

Description

Records relating to the establishment of department or unit administrative policies, procedures and standards dealing with communications or community engagement, including alumni development and relations, special events and exhibits, convocation, and installation ceremonies. Records are associated with the development of decisions, directions, and precedents. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

Does not include university-wide or Senate policies. See GOV-00 for university-wide or Senate policies.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years after superseded or discontinued.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Records created external to the university and gathered in support of the creation of the procedures, policy, or standards are transitory and may be destroyed once no longer needed for convenience.

Secondary Copies

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

Special Instructions

Digitization: Hard copy records may be replaced by digital or born-digital final versions.

See also: For university-wide or Senate policies, see: GOV-00.

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.

COM-01	Reports & Statistics	Communications, Advancement & Community Engagement	2023-05

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to university or department communications and community engagement. 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 – Contact Corporate Records and Archives for archival review and confirmation of final disposition.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may sample reports of significant historical value for permanent archiving, such as final reports on major capital campaigns.

Units may designate the destruction of raw data once reports are created if not needed for long-term operations or to support said reports.

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.

COM-02	Project & Program Management	Communications, Advancement, & Community Engagement	2023-05

Description

Records made, received, or used by units in support of their programs, functions, activities, and operations, specific to communication or engagement campaigns. 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

AR/D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may sample project files of significant historical value for permanent archiving.

Secondary Copies

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

Special Instructions

Digitization: --

See also: For *Advancement Campaigns*, see: **COM-04**.
For *Cultural and Special Events*, see: **COM-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.

COM-03	Committees	Communications, Advancement, & Community Engagement	2023-05

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with communication or community engagement projects, programs, and issues for departments and units.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR/D

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

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

Special Instructions

Digitization: --

See also:
For *Throwback Committee,* see: COM-03-CRR-01
For *Alumni Association*, see: COM-03-CRR-02
For *CU US Foundation Committee*, see: COM-03-CRR-03
For *Advancement and University Relations Committee (Board of Governors),* see: GOV-06.

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.

COM-03-CRR-01	Throwback Committee	Communications, Advancement & Community Engagement	2024-11

Description

Records documenting efforts of the Throwback committee for central planning, administration, and communications for annual Throwback celebrations. Includes communication materials, minutes, agendas, and correspondence of significance.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum of 5 years.

Final Disposition

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

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may sample Throwback promotional materials of significance for permanent archiving.

PIB

No

Secondary Copies

Transitory. Destroy 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.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

COM-03-CRR-02	Carleton University Alumni Association	Communications, Advancement & Community Engagement	2024-11

Description

Consists of records documenting the work and organization of the Carleton University Alumni Association. May include agendas, minutes, working documents and reports, member information, correspondence of significance, and alumni chapter organization.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum 5 years.

Final Disposition

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

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may sample CUAA materials of significance for permanent archiving, specifically final minutes, correspondence of significance, and reports of significance.

PIB

No

Secondary Copies

Transitory. Destroy 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.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

COM-03-CRR-03	Carleton University US Foundation	Communications, Advancement & Community Engagement	2024-11

Description

Consists of records documenting the work and organization of the Carleton University U.S. Foundation. Records may include bank statements, receipts, account summaries from investment groups, change of agent documentation, minutes and agenda from the board meetings, and financial statement.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for 7 years from fiscal year of creation.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Carleton University US Foundation will be discontinued in the near future, date to be determined. This rule will be discontinued when remaining records under it have reached end of retention.

PIB

No

Secondary Copies

Transitory. Destroy 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.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

COM-04	Advancement Campaigns	Communications, Advancement, and Community Engagement	2024-11

Description

Consists of records related to programs and activities of ongoing, special, or planned giving fundraising campaigns, direct mail, scholarship development, telefundraising, and programming, or events. Records may include prospect research, donor proposals, feasibility studies, appeals, communications, and reports of university funding priorities.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum 10 years from completion of campaign.

Final Disposition

AR / D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Corporate Records and Archives may select advancement campaign materials for permanent archiving.

Secondary Copies

Secondary copies may exist in various academic departments and Athletics. Copies of advancement efforts in supported departments should be retained as operationally needed. Records detailing alumni and their contact information must follow retention and disposition of COM-06.

Special Instructions

Digitization: Consult Corporate Records and Archives before digitizing any hard copy records with the intention of replacing original documents.

See also: For financial records related to donors, see: *Accounts Receivable,* **FIN-05**.

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.

COM-05	Donor Stewardship	Communications, Advancement, & Community Engagement	2024-11

Description

Consists of records related to information about donors and potential donors, their activities, and their relationship with the university. Records may include demographic and contact information, relationship management, personalized stewardship reports, stewardship and recognition plans, named spaces documentation, news items, copies of wills and estate-related documentation, pledge/donation records, gift agreements, gift-in-kind agreements, endowment documentation, and correspondence.

Does not include copies of receipts, payment information, and other financial interaction documentation.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for duration of operational need, unless otherwise dictated by individual donors. See filing notes for further instructions.

Final Disposition

AR (Selective retention by Corporate Records and Archives, see filing note).

Retention Rationale

Freedom of Information and Protection of Privacy Act, RSO, 1990, c. F31, s. 2 (2)

Filing Notes/Location

1. Gift agreements that meet thresholds established in the University's Signing Authorities Policy must also be filed with the University Secretariat. See ADM-05 for more information.

2. Donor stewardship records should be reviewed regularly after a 10-year period of inactivity to assess operational need.

3. Once deemed past retention by Department of University Advancement, Corporate Records and Archives may select donor records that document a donor's biographical information, descriptions of their relationship with Carleton, photographs, correspondence of significance, and a summary or report of their giving to Carleton.

4. Donors may request the destruction of their personal information at any point in time.

Secondary Copies

--

Special Instructions

Digitization: --

See also:

For financial records related to donors, see: *Accounts Receivable,* **FIN-05**.

For *Contracts and Agreements*, see: **ADM-05**.

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.

COM-06	Prospect Research and Management	Communications, Advancement & Community Engagement	2024-11

Description

Consists of records related to information about donors and potential donors, their activities, and their relationship with the university. Records may include research profiles, wealth ratings, briefing notes, prospect and potential prospect list, and other research findings.

Office of Primary Responsibility

University Advancement – Prospect Research and Management

Retention Summary

Retain in unit for minimum of 10 years after calendar year of creation or for length of relationship with the donor or prospect, unless otherwise dictated by individual donors. Records with ongoing operational need upon completion of retention may be retained longer. Records assessed as no longer operationally viable must be disposed of.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.
Freedom of Information and Protection of Privacy Act, RSO 1990, C. F31, s. 2 (2)

Filing Notes/Location

Donors may request the destruction of their personal information at any point in time.

PIB

Yes

Secondary Copies

--

Special Instructions

Digitization: --

See also: For financial records related to donors, *Accounts Receivable*, see: **FIN-04**.

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.

COM-07	Alumni Membership	Communications, Advancement & Community Engagement	2024-11

Description

Consists of records detailing Carleton University alumni and their contact information, not including student records containing permanent information on university graduates. May consist of reports, lists, records, forms, permission forms and waivers, and correspondence.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit until superseded. When requested by alumni, individuals must be removed from contact lists.

Final Disposition

Superseded lists – D

Retention Rationale

Freedom of Information and Protection of Privacy Act, s. 38 (2), 41 (1), 42 (1).
Carleton University Advancement Data Policy

Filing Notes/Location

--

Secondary Copies

Alumni lists and contacts used by university departments must be updated regularly with the Director of Alumni Services and according to the university's Advancement Data Policy. Delete after superseded with information from University Advancement.

Special Instructions

Digitization: --

See also: *Carleton University Advancement Data Policy*

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.

COM-08	Alumni Relations & Activities	Communications, Advancement & Community Engagement	2024-11

Description

Consists of records detailing alumni, alumni chapters, benefit programs, affinity programs and mentorship programs, their activities, and their relationship with the university. Records may include demographic and current contact information, relationship management, news items and newsletters, correspondence, and program planning and promotional documentation for regular and special events as athletic activities and groups (e.g. Old Crows, Bald Ravens, subject or regional-specific alumni chapters, etc.)

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum of 5 years after last operational use.

Final Disposition

AR. Corporate Records and Archives will select specific materials for permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Records may include historically significant materials to transfer to Corporate Archives: samples of event planning documentation, newsletters, promotional materials, and other audio-visual and graphic materials.

PIB

No

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.

COM-09	Fundraising Management	Communications, Advancement & Community Engagement	2024-11

Description

Consists of records related to information about managing fundraising activities and strategy. Records may include portfolio management (portfolio reviews), fundraiser metrics and reports. Does not include performance evaluations for fundraising employees.

Office of Primary Responsibility

University Advancement

Retention Summary

Retain in unit for minimum of 10 years from date of creation, dependent on operational use.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

PIB

No

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.

COM-10	Memorabilia	Communications, Advancement & Community Engagement	2024-11

Description

Consists of commemorative publications, objects, photography, audio-visual, textiles, and graphic materials representative of the university, its students, staff, faculty, and community members.

Office of Primary Responsibility

Unit responsible for creation of commemorative materials or memorabilia.

Retention Summary

Retain in unit for minimum 1 year from creation.

Final Disposition

D / AR. (Selective permanent preservation by Corporate Records and Archives)

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.

COM-11	Communications	Communications, Advancement, & Community Engagement	2024-11

Description

Consists of advertising announcements, reports, brochures, audio-visual recordings, media reports, newsletters, newspapers, internal announcements, photographs, posters, web pages and websites, Carleton publications, speeches, presentations, and addresses. Records may also include planning documentation, design, budget, and correspondence.

Office of Primary Responsibility

Unit responsible for communications
Department of University Communications

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

D / AR. (Selective permanent preservation by Corporate Records and Archives)

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Departments may establish retention and disposition requirements of specific communications materials. Contact Corporate Records and Archives for more information.

Secondary Copies

Communication materials created by Department of University Communications on behalf of another unit is the retention and disposition responsibility of said requesting unit.

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.

COM-12	Agencies, Government & Media Relations	Communications, Advancement, & Community Engagement	2024-11

Description

Consists of records detailing Carleton's relationship to the public, municipal, provincial, federal, and other governments, external agencies, organizations, and with the media. May include new releases, speeches, interviews, correspondence, media clips, and articles.

Office of Primary Responsibility

Unit responsible for communication

Retention Summary

Retain in unit for minimum 3 years after calendar year of creation or for length of project.

Final Disposition

AR. Corporate Records and Archives must review records for potential permanent preservation.

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: For *Executive Files and Correspondence*, see: **ADM-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.

COM-13	Cultural and Special Events	Communications, Advancement & Community Engagement	2024-11

Description

Consists of records detailing planning and executive of cultural and special events for the university, including university and department anniversaries, Throwback, gallery events, exhibitions, speaker series, presentations, conferences, and concerts. May include planning documentation, graphic materials, audio-visual recordings, photographs, speeches, interviews, and correspondence of significance.

Office of Primary Responsibility

Unit responsible for event.

Retention Summary

Retain unit for minimum 3 years from event.

Final Disposition

AR. Corporate Records and Archives must review records for potential permanent preservation.

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.
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.

COM-14	Convocation and Installation Ceremonies	Communications, Advancement & Community Engagement	2024-11

Description

Consists of records detailing biannual or special convocations as well as installation ceremonies for the university president or chancellor. May include planning documentation, graphic materials, audio-visual recordings, speeches, interviews, and correspondence of significance. Also includes ceremonial objects used for convocation or installation.

Office of Primary Responsibility

Office of the President
Office of the Vice-Present (Students and Enrolment)
University Secretariat
Department of University Communications
Individual units holding convocation related events.

Retention Summary

Retain in unit as operationally needed, minimum 3 years.

Final Disposition

AR (Selective permanent retention by Corporate Records and Archives).

Retention Rationale

Retention based on anticipated operational need.

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.

COM-15	Academic Calendar	Communications, Advancement, & Community Engagement	2017-06

Description

Consists of records relating to the preparation, production and distribution of calendars containing university policies and procedures, program requirements and course offerings. Records may include print or digital editions of the undergraduate, graduate, summer and supplementary calendars and the planning, design, budget, versions, photographs, releases, and correspondence that document their creation.

Office of Primary Responsibility

University Registrar's Office

Retention Summary

Retain in unit for 5 years from creation.

Calendar should be deposited annually with Corporate Records and Archives.

Final Disposition

P

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.

Carleton University Retention Schedule

Section 4

FACILITIES AND PROPERTIES

Records and data in this category document administration and maintenance of the university's built environment, infrastructure, utilities and facilities, major capital projects and renovation and space planning.

FAC-00	Policies, Procedures and Standards	3
FAC-01	Reports and Statistics	4
FAC-02	Project and Program Management	5
FAC-03	Committee	6
FAC-04	Architectural Drawings and Specifications	7
FAC-05	Building Permits	8
FAC-06	Asset Control and Inventories	9
FAC-07	Maintenance	10
FAC-08	Parking Administration	11
FAC-09	Room Bookings	12
FAC-10	Utilities	13

CORPORATE RECORDS & ARCHIVES

Carleton University

FAC-00	Policies, Procedures & Standards	FACILITIES	2023-05

Description

Records relating to the establishment of department or unit policies, procedures and standards dealing with facilities and property management. Records are associated with the development of decisions, directions, and precedents that act as a reference for future decision-making. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 5 years after superseded or replaced.

Final Disposition

D

Retention Rationale

Retention based on current operational need.

Filing Notes/Location

Units may discuss and document an alternative retention length for unit policies and procedure 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: For *University Policies, Procedures, and Standards*, see: **GOV-00**.

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.

FAC-01	Reports & Statistics	FACILITIES	2023-05

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to facilities, environmental controls, sustainability, capital project planning, and delivery of mandates. Does not include external reports and statistics used as reference.

Office of Primary Responsibility

Facilities Management and Planning

Retention Summary

Retain in unit for 10 years from creation of record.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Units may discuss and document an alternative retention length for unit reports and statisti 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.

FAC-02	Project & Program Management	FACILITIES	2023-05

Description

Records made, received, or used by units in support of their programs, functions, activities, and operations. 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

Facilities Management and Planning

Retention Summary

Retain in unit for minimum 7 years from completion of project.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Units may discuss and document an alternative retention length for facilities 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: For *Architectural Drawings and Specifications*, see: **FAC-05**.

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.

FAC-03	Committees	FACILITIES	2023-05

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with the management of Carleton University facilities, space planning, built environment, sustainability efforts, and grounds.

Office of Primary Responsibility

Facilities Management and Planning

Retention Summary

Retain in unit for minimum 3 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 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: --

See also: For *Board of Governor Committees (Building Program)*, see: **GOV-06.**

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.

FAC-04	Architectural Drawings & Specifications	FACILITIES	2017-06

Description
Consists of records relating to building plans, specifications, construction drawings and plans.

Office of Primary Responsibility
Facilities Management and Planning

Retention Summary
Retain in unit minimum 5 years from completion of project.

Final Disposition
P – Transfer to Corporate Records and Archives upon retention completion.

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.
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.

FAC-05	Building Permits	FACILITIES	2017-06

Description

Consists of records relating to applications and management of building or construction permits.

Office of Primary Responsibility

Facilities Management and Planning

Retention Summary

Retain in unit for 7 years from completion of project.

Final Disposition

P - Transfer to Corporate Records and Archives upon retention completion.

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.
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.

FAC-06	Asset Control & Inventories	FACILITIES	2017-06

Description

Consists of records relating to the control of university movable assets including storage and inventory. Movable assets include any asset except real estate or other interests in land. Examples are equipment, furniture, and university vehicles. Records may include delivery notices, storage location lists and inventories.

Office of Primary Responsibility

Facilities Management and Planning

Retention Summary

Retain in unit for 2 years from disposal of asset.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Contracts and Agreements,* see: **ADM-05**.

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.

FAC-07	Maintenance	FACILITIES	2017-06

Description

Consists of records relating to service and maintenance requests, repairs for buildings and equipment on campus. May include correspondence, memoranda regarding projects, maintenance work, documentation of use of facilities and equipment, records of maintenance logs, tests, service reports, and work orders.

Office of Primary Responsibility

Facilities Management and Planning

Retention Summary

Retain in unit 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

--

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.

FAC-08	Parking Administration	FACILITIES	2017-06

Description

Consists of records relating to the management of parking and transportation services. Records may include studies, reports, correspondence, violation notices, and appeals.

Office of Primary Responsibility

Campus Safety Services – Parking Services

Retention Summary

Retain in unit for 3 years from closure of file.

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.

FAC-09	Room Bookings	FACILITIES	2017-06

Description

Consists of records relating to bookings of meeting rooms, theatres and other facilities as part of ongoing operations of the University.

Office of Primary Responsibility

Unit responsible for room booking

Retention Summary

Retain in unit 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.

FAC-10	Utilities	FACILITIES	2017-06

Description

Consists of records relating to the supply and management of the University utilities including the procurement of electricity, the operation and maintenance of plants, boilers, and compressed air systems. Records may include meter readings, data analysis, inspection reports, power disruption reports, work orders and service reports.

Office of Primary Responsibility

Facilities Management and Planning

Retention Summary

Retain in unit for 10 years from creation.

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.

Carleton University Retention Schedule

Section 5

FINANCIAL MANAGEMENT

Records and data in this category document the financial management of the university, school-wide and by work units. Records in this category are not exclusive to the university's Financial Services department and exist in some capacity in all work units.

FIN-00	Policies, Procedures and Standards	3
FIN-01	Reports and Statistics	4
FIN-02	Project and Program Management	5
FIN-03	Committees	6
	FIN-03-CRR-01 Financial Registration Appeals Committee	7
FIN-04	Accounts Payable	7
FIN-05	Accounts Receivable	8
FIN-06	Internal Audit Reports	9
FIN-07	External Audits	10
FIN-08	Banking	11
FIN-09	Budgets (University-wide)	12
FIN-10	Budgets (Department or Unit)	13
FIN-11	Financial, Reporting, and Statements	14
FIN-12	Procurement	15
FIN-13	PCI DSS Compliance Documentations	16
FIN-14	Cardholder Data Security Incident Reports	17
FIN-15	Signing Authorities Administration	18

CORPORATE RECORDS & ARCHIVES

Carleton University

FIN-00 Policies, Procedures and Standards Financial Management 2024-05

Description

Consists of records relating to the establishment of department or unit policies, procedures and standards that address financial management. Records are associated with the development of decisions, directions, and precedents from which department or unit financial procedures are determined. Records may include final policy or procedures documentation, manuals, consultations, reports, correspondence, and financial management practices.

Does not include university-wide policies governed by the Board of Governors or Senate.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain until superseded. D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Department policies and procedures may be retained on multiple Carleton platforms including Teams, OneNote, and network drives. Department-wide documents must be retained on shared platforms.

Secondary Copies

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

Special Instructions

Digitization: --

See also: For university-wide *Senate or Board of Governor policies*, see: **GOV-00**.

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.

FIN-01	Reports and Statistics	Financial Management	2024-05

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports that address department or unit financial management. Does not include external reports and statistics used as reference.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 10 years from creation.

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.

FIN-02	Project and Program Management	Financial Management	2024-05

Description

Records made, received, or used by units in support of projects that address department or unit financial management. Records may include correspondence and memoranda, organizational charts, delegation of authority, studies, forms, transaction records, work orders, and issue notes.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 7 years from project completion.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Units may 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.

FIN-03	Committees	Financial Management	2024-05

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with financial management duties for departments, units, and/or special issues or projects of the university.

Do not use for standing committees of the university Board of Governors or Senate.

Office of Primary Responsibility

Financial Services
Designated unit

Retention Summary

Retain in unit for minimum of 7 years from creation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Units may document an alternative retention length for financial management committee and working group 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:

For *Committees – Financial Registration Appeal Committee*, see **FIN-03-01**.
For *Board of Governor Committees*, see **GOV-06**.
For *Senate Committees*, see **GOV-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.

FIN-03-01	Financial Registrations Appeal Committee	Financial Management	2023-05

Description

Records documenting the proceedings and decisions of the Financial Registrations Appeal Committee. May include documentation of appeals, forms, correspondence, and tracking documentation of decisions.

Office of Primary Responsibility

Financial Services - Business Operations

Retention Summary

Retain in unit for minimum of 7 years from creation.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Appeal decisions are recorded in individual student files.
Committee records currently located on network drive of Business Operations.

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.

FIN-04	Accounts Payable	Financial Management	2023-05

Description

Consists of records related to expenditures and purchases. Records may include requisitions, invoices, supporting documents, cheques, reimbursements of travel and moving expenses and requests for advances, Pcard/eCard statements and supporting documentation, batch outputs and overlimit payment authorizations, GST/HST reporting, T4A/T4A-NR reconciliations and reporting, payroll and benefits statutory and optional employee/employer benefit reconciliation and remittance reporting.

Office of Primary Responsibility

Financial Services – Business Operations.

Retention Summary

Retain for 7 years from fiscal year of creation.

Final Disposition

D

Retention Rationale

Income Tax Act, R.S.C., 1985, c. 1 (5th supplement), s. 230(4)(b)
Procurement Card Policy

Filing Notes/Location

Final records retained in eShop/Concur/FAST, Carleton Central, and on Financial Services departments' shared repositories.

Secondary Copies

Department or unit of origin should retain financial records for payment until reimbursement is complete, third-party vendor has been paid, or in the case of Pcard transactions, it has been approved by supervisor. Secure destruction once retention is met.

Special Instructions

Digitization: Paper records may be replaced by digitized copies.

See also: For *Accounts Receivable*, see: **FIN-05**.

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.

FIN-05	Accounts Receivable	Financial Management	2023-05

Description

Consists of records relating to management of accounts receivable and cash receipts. Records may include credit card payment records (in person/online), bank statements, merchant statements, remittance advices, invoices, journal vouchers, receipts, collection records, related documentation and correspondence, petty cash administration, GST/HST reporting, and T2202/Relevé 8 reconciliations and reporting.

Office of Primary Responsibility

Financial Services – Business Operations

Retention Summary

Retain for 7 years from fiscal year of creation.

Final Disposition

D

Retention Rationale

Income Tax Act, R.S.C., 1985, c. 1 (5th supplement), s. 230(4)(b)

Filing Notes/Location

Invoice records stored in FAST Accounts Receivable application. All other records under the control of Business Operations.

Secondary Copies

--

Special Instructions

Digitization: Paper records may be replaced by digitized copies.

See also: For *Accounts Payable*, see: **FIN-04**.

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.

FIN-06	Internal Audit Reports	Financial Management	2024-05

Description

Consists of records related to internal audits of the university's departments, processes, financial systems, and records. Records may include copies of material provided to auditors, audit report plans and final reports, status reports, background support materials, responses, and related documentation such as correspondence.

Office of Primary Responsibility

Office of the Vice-President (Finance and Administration)

Retention Summary

Retain in unit for minimum 10 years from creation.

Final Disposition

P

Retention Rationale

Retention based anticipated operational use as well as audit and accounting requirements.

Filing Notes/Location

Office of Primary Responsibility must initiate archival transfer for materials to be housed permanently in Corporate Records and Archives.

Supporting documentation also maintained in Financial Services – Controller's Office.

PIB

Yes

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.

FIN-07	External Audits	Financial Management	2024-05

Description

Consists of records related to external audits of the university's financial systems, processes, and records. Records may include copies of material provided to external auditors, audit reports, background support materials, responses, and related documentation.

Office of Primary Responsibility

Office of the Vice-President (Finance and Administration)

Retention Summary

Retain in unit for minimum 10 years from creation.

Final Disposition

P

Retention Rationale

Retention based on audit and accounting requirements.

Filing Notes/Location

Office of Primary Responsibility must initiate archival transfer for materials to be housed permanently in Corporate Records and Archives.

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.

FIN-08	Banking	Financial Management	2024-05

Description

Consists of records relating to management of the University's banking. Records may include statements, transfers, reconciliations, cashed cheques, cash flow reports, service contracts, and credit card activity.

Office of Primary Responsibility

Financial Services

Retention Summary

Retain for 7 years from fiscal year of creation.

Final Disposition

D – Banking records described above.

P - Retention for provincial government transfers and cash flow analysis are permanent.

Retention Rationale

Income Tax Act (R.S.C., 1985, c. 1), section 230 (4)(b)

Filing Notes/Location

Records retained in network drive and hard copy storage of office of primary responsibility.

Secondary Copies

--

Special Instructions

Digitization: Canadian cleared cheque image statements currently remain in paper format only.

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.

FIN-09 Budgets (University Wide) Financial Management 2024-05

Description

Consists of records relating to planning, control and follow-up of the annual University budget and its components (operating funds, ancillary funds, and restricted funds). Records may include year-end financial statements, long-term financial projections, budget frameworks, budget estimates and submissions, approved budgets and revisions, bridging summaries, budget to actual reporting, related documentation and correspondence. Also includes records from the Provost Budget Working Group.

Office of Primary Responsibility

Office of the Provost and Vice-President (Academic)

Retention Summary

Retain in unit for minimum 7 years prior to transfer to Corporate Records and Archives.

Faculty copies of budget submissions created 2018 and prior should be transferred to Corporate Records and Archives for archival appraisal.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.
Income Tax Act (R.S.C., 1985, c. 1), section 230 (4)(b)

Filing Notes/Location

--

Secondary Copies

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

Special Instructions

Digitization: --

See also: For *Budgets (Department or Unit)*, see: **FIN-10**.

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.

FIN-10 Budgets (Department or Unit) Financial Management 2024-05

Description

Consists of records relating to planning, control, and follow-up of individual departmental or unit budgets, including any associated funds. Records may include year-end financial statements, budget request instructions, budget submissions and presentations, approved budgets and revisions, monthly budget summaries, supporting documentation and correspondence.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 7 years.

Final Disposition

D

Retention Rationale

Income Tax Act (R.S.C., 1985, c. 1), section 230 (4)(b)

Filing Notes/Location

--

Secondary Copies

Transitory. Retain for reference or convenience and destroy.

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.

FIN-11 Financial, Reporting and Statements Financial Management 2024-05

Description

Consists of records related to general ledger, journal, and financial statements.

Office of Primary Responsibility

Financial Services – Controller's Office
Financial Services – Research Financial Services

Retention Summary

Retain for 7 years from end of fiscal year.

Final Disposition

D

Retention Rationale

Income Tax Act (R.S.C., 1985, c.1, 5th Supp.)), section 230 (4)(b)

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.

FIN-12	Procurement	Financial Management	2024-05

Description

Consists of records relating to acquisition of goods and services including bid and competitive selection processes. Records may include specifications, requests for proposals (RFP) and requests for tender (RFT), vendor proposals and bids for records of all bids received, department requisition forms, related documentation and correspondence.

Office of Primary Responsibility

Procurement Services
Unit with signing authority

Retention Summary

See filing notes.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Procurement records are active until the respective contract is superseded or until 1 year after the contract has expired or action completed. If there is a warranty that provides longer coverage, then records are retained for the length of the warranty.

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Contracts and Agreements*, see: **ADM-05**.

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.

FIN-13 PCI DSS Compliance Documentation Financial Management 2024-05

Description

Consists of the university's annual PCI Compliance attestation submissions and supporting records providing evidence of the University's compliance with PCI DSS. Supporting records may include copies of PIN Pad Inspection Logs, Annual Merchant Questionnaires, third-party service providers' attestations of compliance with PCI DSS, PCI training records, ASV scans, records documenting the activities of the PCI Compliance Committee, other related documentation, and correspondence.

Does not include reporting of sales activity by university merchants for credit card transactions.

Office of Primary Responsibility

Financial Services – Business Operations

Retention Summary

Retain for minimum 5 years from creation.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

The University's PCI Compliance Attestation submission and evidence records are active until 1 year after the submission to the Payment Card Industry or until superseded by the next attestation of compliance, whichever comes earlier.

Secondary Copies

Once PCI-related records have been submitted to the PCI Compliance Officer, university merchants are not required to retain them. **Does not include reporting of sales activity by university merchants for credit card transactions.**

Special Instructions

Digitization: All records digitized.

See also: For *Information Technology Security Incident Reports*, see **INF-17**.

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.

FIN-14	Cardholder Data Security Incident Reports	Financial Management	2024-05

Description

Consists of records documenting cardholder data security incidents and resolutions. Records may include merchants' incident reports, reports to the Payment Card Industry, internal and/or external investigations, remediation measures and timelines, records of meetings, other related documentation, and correspondence.

Office of Primary Responsibility

Business Operations, Financial Services
ITS Security

Retention Summary

Retain in unit for minimum 7 years from incident.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

The University's PCI Compliance Attestation submission and evidence records are active until 1 year after the submission to the industry or until superseded by the next attestation of compliance, whichever comes earlier.

Secondary Copies

Secondary copies may include documents generated by merchants or obtained by merchants from their Third-Party Service Providers and submitted for retention to the PCI Compliance Officer. Retain for 1 year from submission to PCI Compliance.

Special Instructions

Digitization: All records digitized.

See also: For *Information Technology Security Incident Reports*, see **INF-17**.

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.

FIN-15	Signing Authorities Administration	Financial Management	2024-05

Description

Consists of records that document, track, and verify signing authorities at the university and in departments. May include administration documents capturing signing authority for university Signing Officers, agreements, proposals, contracts, financial transactions, as well any accompanying risk assessments and documentation.

Office of Primary Responsibility

Designated unit or body

Retention Summary

Retain in unit for 7 years after authority superseded by new individual.

Final Disposition

D

Retention Rationale

Retention based on current operational use.
Carleton University Signing Authorities Policy

Filing Notes/Location

--

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.

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.

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CORPORATE RECORDS & ARCHIVES

Carleton University

GOV-00	University Policies, Procedures & Standards	GOVERNANCE	2023-05

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.

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-01	Reports & Statistics	GOVERNANCE	2023-05

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.

GOV-03	Committees	GOVERNANCE	2023-05

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.

GOV-04	University Governance	GOVERNANCE	2023-05

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

--

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-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.

GOV-06	Board of Governors - Committees	GOVERNANCE	2023-05

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

--

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

--

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.

GOV-08	Senate - Committees	GOVERNANCE	2023-05

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.

GOV-09 Senior Search Executive Committees GOVERNANCE 2023-05

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

--

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.

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-09	Senior Executive Search Records	Governance	
CRR #	**Record Type**	**Retention Period***	**Final Disposition**
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

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-10	Pension Committee Management	GOVERNANCE	2023-05

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.

GOV-11	Investment Management Committee	GOVERNANCE	2023-05

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: --

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-12	Nominations Administration	GOVERNANCE	2023-05

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: --

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-13	Elections Governance	GOVERNANCE	2023-05

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.
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-14 Governance Orientation GOVERNANCE 2023-05

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: --

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-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.

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.

General Administration

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GENERAL ADMINISTRATION

HUM-00 Policies, Procedures & Standards HUMAN RESOURCES 2023-05

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**.

HUM-01 Reports & Statistics HUMAN RESOURCES 2023-05

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.

HUM-02 Project & Program Management HUMAN RESOURCES 2023-05

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: --

HUM-03 Committees (Non-Hiring) HUMAN RESOURCES 2023-05

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: --

HUM-04	Associate Vice-President, Human Resources	HUMAN RESOURCES	2025-05

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

Description

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.

Office of Primary Responsibility

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

Retention Summary

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.

Final Disposition

D

Retention Rationale

Collective Agreements:
CUPE 2424 (Section 14)
CUPE 3778 (Section 9)
CUPE 910 (Section 10.01)
OPSEU (Section 8.04)

Filing Notes/Location

These records include those related to professional services, faculty/librarians, contract instructors, and teaching assistants.

PIB

Yes

Secondary Copies

--

Special Instructions

Digitization:--

See also:--

HUM-06	Grievances and Arbitration	HUMAN RESOURCES	2025-05

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:--

HUM-07	Labour Relations – Professional Services/Faculty	HUMAN RESOURCES	2025-05

Description

Consists of records relating to the relationships between management and 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)

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: --

HUM-08 Training and Development HUMAN RESOURCES 2025-05

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:--

HUM-09	Job Descriptions	HUMAN RESOURCES	2025-11

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

Offices of Primary Responsibility must retain older versions 30 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

Rule to be reviewed in November 2027 for retention period requirements.

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***.

HUM-10	Annual Increases Process	HUMAN RESOURCES	2025-05

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***.

HUM-11	Position Activities	HUMAN RESOURCES	2017-06

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: --

HUM-12	Gender Dominance Binders	HUMAN RESOURCES	2017-06

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: --

HUM-13	Salary Review	HUMAN RESOURCES	2025-05

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**.

HUM-14 Reference and Information Requests HUMAN RESOURCES 2025-05

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:--

HUM-15	Informal Conflict File	HUMAN RESOURCES	2025-05

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:--

HUM-16	Formal Conflict File	HUMAN RESOURCES	2025-05

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*.

HUM-18	Staffing – Competitions and Recruitment (Faculty and Librarians)	HUMAN RESOURCES	2025-05

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:--

HUM-19 Unsolicited Curriculum Vitae/Resumes HUMAN RESOURCES 2025-05

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:--

HUM-37	Indigenous Identity Verification Process	HUMAN RESOURCES	2025-05

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

HUM-20 Employees (Full-time, Permanent) HUMAN RESOURCES 2025-05

Description

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: *Retention and Disposal of Faculty Personnel Records* and all questions should be referred to the Office of the Provost and Vice-President (Academic).

Office of Primary Responsibility

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

Retention Summary

Retain for 50 years from final pension payout.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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.

PIB

Yes

Secondary Copies

Special Instructions

Digitization:--

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

HUM-21	Employee Files (Research and Teaching Assistants)	HUMAN RESOURCES	2025-05

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)*

HUM-22	Employee Files (Casual and Student Employees)	HUMAN RESOURCES	2025-05

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)*

HUM-23	Employee Files (Department/unit copies)	HUMAN RESOURCES	2025-05

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:--

HUM-24 Performance Reviews and Work Plans HUMAN RESOURCES 2025-05

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

Description

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.

Office of Primary Responsibility

Human Resources – Payroll Services

Retention Summary

Retain 7 years from fiscal year of creation.

Final Disposition

D

Retention Rationale

Income Tax Act, R.S.C., 1985, c.1
Employment Standards Act, S.O. 2000, c.15, s. 15 (1)

Filing Notes/Location

PIB

Yes

Secondary Copies

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.

Special Instructions

Digitization:--

See also: For *Employee Files (Department/unit copies),* see: HUM-23.

HUM-26	Leave Management	HUMAN RESOURCES	2025-05

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.

HUM-27 Vacation Pay Records Human Resources 2025-05

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.

HUM-28	Non-Medical Accommodations	HUMAN RESOURCES	2025-05

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: --

HUM-29 Flexible Work Arrangement Registration HUMAN RESOURCES 2025-05

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: --

HUM-30	Union Leave Records	HUMAN RESOURCES	2025-05

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

--

Special Instructions

Digitization: --

See also: --

BENEFITS and CLAIMS

HUM-31	Workplace Safety and Insurance Board Claims and Appeals	HUMAN RESOURCES	2025-05

Description

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.

Office of Primary Responsibility

Human Resources – WSIB

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: --

HUM-32	Benefits Management	HUMAN RESOURCES	2025-05

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: --

HUM-33	Pension Benefits – Plan Member Management	HUMAN RESOURCES	2017-06

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.~~I~~

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: --

HUM-34	Pension Benefits – Terminated/Benefit Retiree Management	HUMAN RESOURCES	2017-06

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.~~I~~

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: --

HUM-35 Pension Fund Management HUMAN RESOURCES 2017-06

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: --

HUM-36 Pension Fund Working Files HUMAN RESOURCES 2017-06

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

--

Special Instructions

Digitization: --

See also: --

Carleton University Retention Schedule

Section 8

INFORMATION GOVERNANCE

Records and data in this category document information and technology management, information, and cultural assets of the university. Includes retention scheduling of access and privacy records, archives, library materials, as well as administration of enterprise applications and technology infrastructure.

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CORPORATE RECORDS AND ARCHIVES

Carleton University

INF-00 Policies, Procedures & Standards INFORMATION GOVERNANCE 2024-05

Description
Records relating to the establishment of departmental or inter-departmental policies, procedures, or standards managing information assets, technology, and information governance and services such as privacy, records management, archives, reference, and research. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

For university-wide policies of the Board of Governors or Senate, please refer to the Governance section of the *Carleton University Retention Schedule.*

Office of Primary Responsibility
Designated unit creating policy, procedure or standard.

Retention Summary
Retain in unit minimum 5 years after superseded or date obsolete.

Final Disposition
D

Retention Rationale
Retention based on anticipated operational use.

Filing Notes/Location
--

Secondary Copies
Transitory. Retain only as needed for reference or convenience.

Special Instructions

Digitization: --

See also: *University Policies, Procedures and Standards* – **GOV-00**

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.

INF-01 Reports and Statistics INFORMATION GOVERNANCE 2024-05

Description
Records include reports as well as the supporting documentation and statistics created or used to produce reports related to information assets, technology and information governance and services. Does not include external reports and statistics used as reference.

Office of Primary Responsibility
Designated unit responsible for creation of report.

Retention Summary
Retain in unit for 10 years from creation of report or statistics.

Final Disposition
AR / D. Corporate Records and Archives may select final reports of major projects for permanent preservation.

Retention Rationale
Retention based on anticipated operational use.

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

Units may designate the destruction of raw data once reports are created if not needed for long-term operations or to support said reports.

Secondary Copies
Transitory. Retain only as 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.

INF-02 Project and Project Management INFORMATION GOVERNANCE 2024-05

Description
Records made, received, or used by units in support of programs, functions, activities, and operations dealing with the university's information assets, services, and technology. Records may include correspondence, memoranda, and 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
AR / D. Records of major projects (e.g. construction) should be reviewed by Corporate Records and Archives prior to destruction.

Retention Rationale
Retention based on anticipated operational need.

Filing Notes/Location
Units may discuss and document an alternative retention length for operational project management records in consultation with Corporate Records and Archives. Contact Corporate Records and Archives for more information.

Secondary Copies
Transitory. Retain only as 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.

INF-03	Committees	INFORMATION GOVERNANCE	2024-05

Description

Records documenting the proceedings and actions of departmental or inter-departmental standing or ad hoc committees tasked with information and technology governance, including information assets, records and data management, privacy and access to information, technology services and assets.

For committees under the Board of Governors or university Senate, please refer to the Governance sections of the *Carleton University Retention Schedule*.

Office of Primary Responsibility

Unit designated as responsible for committee, working group, or task force.

Retention Summary

Retain in unit responsible for minimum 3 years.

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 and operational committees and working groups after consulting with the unit responsible. Contact Corporate Records and Archives for more information.

Secondary Copies

Transitory. Retain only as needed for reference or convenience.

Special Instructions

Digitization: Paper records can be replaced by digitized versions.

See also: For, *Senate Library Committee* – **GOV-08**
For, *Collections Committee* – **INF-03-CRR-01**

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.

INF-03-CRR-01 Collections Committee INFORMATION GOVERNANCE 2024-05

Description
Committee records and reports documenting the work of the Collections Committee, MacOdrum Library.

Office of Primary Responsibility
Collections and Assessment (MacOdrum Library)

Retention Summary
Retain in unit for minimum 10 years from last action.

Final Disposition
AR

Retention Rationale
Retention based on anticipated operational use.

Filing Notes/Location
Unit may designate the destruction of raw data used in reports earlier than 10 years if not required to support ongoing or future operations.

Secondary Copies
Transitory. Retain only as needed for reference or convenience.

Special Instructions

Digitization: Paper records can be replaced by digitized versions.

See also*:* For, *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.

INF-04 Access and Privacy INFORMATION GOVERNANCE 2024-05

Description
Consists of records relating to access to information request made under the Freedom of Information and Protection of Privacy Act (FIPPA) and complaints regarding privacy breaches. Records may include access request forms, acknowledgement letters, third party notices, fee estimates, access recommendations, record search worksheets, research agreements, notice and confirmation of appeal and written representations.

Office of Primary Responsibility
Office of the General Counsel – Privacy Office

Retention Summary
Retain formal requests in office for 5 years from last action.
Retain informal requests for general information for 1 year from request.

Final Disposition
D

Retention Rationale
Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F. 31, regulation 459
Retention based on current operational use.

Filing Notes/Location
--

Secondary Copies
--

Special Instructions

Digitization: --

See also: For *Legal Opinions*, see: **ADM-10**.

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.

INF-05	Archives	INFORMATION GOVERNANCE	2024-05

Description

Records and other cultural materials in the control of the university's two archive repositories and that have been appraised as historically significant and accessioned into formal collections.

Office of Primary Responsibility

Corporate Records and Archives (University Secretariat)
Archives and Special Collections (MacOdrum Library)

Retention Summary

Preserve indefinitely in repositories.

Final Disposition

P

Retention Rationale

Materials have enduring value for the university.

Filing Notes/Location

Corporate archival materials in digital format are currently preserved in the Digital Archives Vault (Permafrost system).

Secondary Copies

Digitized copies of archival materials in the possession of secondary departments are transitory. Retain only as required for projects and then destroy.

Special Instructions

Digitization: Original hard copy archival formats cannot be replaced by digitized copies.

See also: For donor agreements and appraisals, see **INF-13** (Acquisitions – Art, Archives, and Special Collections).

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.

INF-06 Copy and Printing INFORMATION GOVERNANCE 2024-05

Description
Records relating to the provision of printing and digitizing services. Records may include work orders, inventories, and correspondence.

Office of Primary Responsibility
Unit requesting service.
Carleton University Print Shop

Retention Summary
1 years from completion of service.

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.

INF-07 Hardware INFORMATION GOVERNANCE 2024-05

Description

Consists of records relating to maintenance and repairs of computing equipment and supplies, including all desktops, laptops, and their peripherals. Records may include user guidelines, operation manuals, maintenance and repair logbooks, warranties, maintenance contracts, and service agreements.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 1 year after disposal of asset.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Secondary Copies

--

Special Instructions

Digitization: --

See also**:** For *Contracts or Agreements*, see: **ADM-05.**

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.

INF-08 Collection Management INFORMATION GOVERNANCE 2024-05

Description
Records relating to the management of library, archival, or gallery holdings including accessioning and cataloguing, weeding and appraisal, arrangement and description, preservation management, space planning, and bibliographic control. Records may include cataloguing and description standards, project documentation, inventory lists of resources, guides, and vendor documentation.

Office of Primary Responsibility
MacOdrum Library
Corporate Records and Archives
Carleton University Art Gallery
Units with resource centres

Retention Summary
Retain in unit for minimum of 2 years from last action/superseded, unless records support contracts and agreements that meet the threshold for Contracts and Agreements as stated in ADM-01 and the Carleton University Signing Authorities Policy.

Final Disposition
D

Retention Rationale
Retention based on anticipated operational use.
Carleton University Signing Authorities Policy

Filing Notes/Location

Secondary Copies
--

Special Instructions

Digitization: --

See also: *Contracts and Agreements* – **ADM-05.**

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.

INF-09	Records & Information Management	INFORMATION GOVERNANCE	2024-05

Description

Records relating to the records and information management of university information assets. Records may include records classifications, retention schedules, policies and guidelines, records management departmental advising records.

Office of Primary Responsibility

Corporate Records and Archives

Retention Summary

Retain in unit for minimum of 3 years from last action or information superseded.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Secondary Copies

Transitory. Units that have received records management advising should retain records of that advising for reference only or as long as it is operationally required.

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.

INF-10 Enterprise Applications INFORMATION GOVERNANCE 2024-05

Description
Records relating to applications that facilitate the operational and supporting process of the university. These are large-scale university-wide applications that may be developed in-house or in conjunction with vendors. Examples include finance, human resources, payroll, course management, classroom equipment booking, library catalogue, archival databases, parking and environmental controls. Records may include project charters, service level agreements, and sign-off documents.

Office of Primary Responsibility
Responsible unit

Retention Summary
Retain in unit minimum 3 years after disposal of asset.

Final Disposition
D

Retention Rationale
Retention based on anticipated operational use.

Filing Notes/Location
Units decommissioning or migrating systems should consult with Corporate Records and Archives prior to the disposal of the old system to ensure retention and disposition requirements of records or data in systems is met.

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.

INF-11	Telecommunications & Networks	INFORMATION GOVERNANCE	2024-05

Description

Consists of records relating to networked and telecommunication systems. Records may include project charters, specifications, system architecture, and sign-off documentation.

Office of Primary Responsibility

Information Technology Services

Retention Summary

Retain in unit for minimum 3 years from disposal of asset.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For, *Contracts and Agreements* – **ADM-05.**

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.

INF-12	Acquisitions (Library & Resource Centres)	INFORMATION GOVERNANCE	2024-05

Description

Records related to the acquisition of print or electronic library resources, including serials, monographs, web-based resources, databases, and audio-visual materials. Records may include subscription documentation and notices, memoranda of agreements, contracts, correspondence of significance, and ownership, permissions, and copyright documentation. Includes records held by both the university library and resources centres (libraries, reading rooms, audio-visual collections) located in academic departments.

Does not include contracts that meet the threshold set for major agreements in the Carleton University Signing Authorities Policy, see: Contracts and Agreements, ADM-01.

Office of Primary Responsibility

MacOdrum Library
Units with resource centres

Retention Summary

Retain in unit for minimum 7 years from last action.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also*:* For, *Contracts and Agreements* – **ADM-05.**

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.

INF-13	Acquisitions (Archives, Art, & Special Collections)	INFORMATION GOVERNANCE	2024-05

Description

Records related to the acquisition of archival and special collections materials. Records may include sale documentation, copyright and permissions documentation, donor agreements, correspondence, research, appraisal reports, and documentation and tax records related to movable cultural property designations.

Office of Primary Responsibility

MacOdrum Library
Corporate Records and Archives (University Secretariat)
Carleton University Art Gallery
Department of University Advancement

Retention Summary

Units in possession of archives and special collections acquisition records may request permanent storage with Corporate Records and Archives on these records are no longer needed for immediate operational use.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.
Cultural Property Export and Import Act, R.S.C., c. C-51, s. 4 (2)

Filing Notes/Location

The T871 tax certificate that is issued for successful certified Canadian cultural property is valid for up to 5 years after the year of donation. It is advised that any supporting documentation for appraisal, appraiser correspondence and notes be retained with the acquisition file in unit for minimum of 5 years after fiscal year of finalized tax certificate issuance.

Secondary Copies

--

Special Instructions

Digitization: --

See also: For, *Acquisitions (Library and Resource Centres)* – **INF-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.

INF-14 Reference & Research Support INFORMATION GOVERNANCE 2024-05

Description
Records related to the delivery of reference and research services for the Carleton community, including students, faculty, staff, alumni, and the public. May include correspondence, documentation of searches and search results, transitory scans or reproductions, researcher forms and agreements, and notes.

Office of Primary Responsibility
MacOdrum Library
Corporate Records and Archives

Retention Summary
Retain in unit for minimum 2 years from last action. Destroy when no longer operationally required after the minimum 2 years. Operational need to be determined by unit responsible for records.

Final Disposition
D

Retention Rationale
--

Filing Notes/Location
Departments may consider centralizing and/or creating aggregate reports of research and reference support, especially after two period where the information may still be required for regular operations.

Major research projects may also fall under Projects and Project Management, see INF-02 or contact Corporate Records and Archives for clarification.

Secondary Copies
--

Special Instructions

Digitization: --

See also: For, *Projects and Project Management* – **INF-02**.

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.

INF-15 Permissions Agreement INFORMATION GOVERNANCE 2024-05

Description
Records related to copyright and usage agreements for information assets belonging to Carleton University. Includes correspondence, risk evaluations of asset use, accompanying research and documentation, and the executed copyright and/or usage agreements.

Office of Primary Responsibility
Corporate Records and Archives (University Secretariat)

Retention Summary
Retain in unit for 10 years after execution of agreement.

Final Disposition
AR / D – Agreements covering copyright permissions may be selected for permanent preservation in Corporate Records and Archives depending on the use of the material requested. Other use agreements will be appraised for destruction.

Retention Rationale
Retention based on anticipated operational use.

Filing Notes/Location
--

Secondary Copies
--

Special Instructions

Digitization: Hard copy Copyright Permissions agreements may be replaced by digitized copies.

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.

INF-16	Information Technology & Systems Support	INFORMATION GOVERNANCE	2024-05

Description

Records related to customer service support and training for information technology, systems, and hardware. Records may include customer service requests and inquiries, correspondence, minor incident, and other reports.

Office of Primary Responsibility

Information Technology Services
Library Technology Services
Technology support staff in administrative or academic units

Retention Summary

Retain in unit for minimum of 2 years from resolution of support request.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Support requests and minor incident reports may be retained longer than 2 years in order to maintain a pool or database of requests. This information should be retained in a Carleton supported software.

Secondary Copies

--

Special Instructions

Digitization: --

See also: For, *Information Technology Security Incident Reports* - **INF-17**.

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.

INF-17	Information Technology Security Incident Reports	INFORMATION GOVERNANCE	2024-05

Description

Records related to major security threats, breaches, and incidents involving the university's information technology infrastructure, assets, and user community. Records may include original support requests or incident reports, PCI compliance reporting, correspondence, workflows, and documentation of responses to incident, evidentiary documentation, and reporting. Includes records collected during investigations of email harassment.

Office of Primary Responsibility

Information Technology Services

Retention Summary

Retain in unit for minimum 10 years from resolution of incident.

Final Disposition

AR. Office of Primary Responsibility or Corporate Records and Archives may extend the retention period beyond 10 years for operational use or appraise records for either permanent preservation in the Corporate Archives or destruction.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

Major incidents may also result in record creation and collection in Campus Safety Services and the Privacy Office.

Special Instructions

Digitization: --

See also: For, *Information Technology and Systems Support* – **INF-16.**

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.

INF-18 Circulation Management INFORMATION GOVERNANCE 2024-05

Description
Records related to the circulation of library materials including borrowing and return of regular collections, management of reserve materials, management of interlibrary loans, and administration of lost or damaged library materials.

Office of Primary Responsibility
MacOdrum Library
Units with resource centres

Retention Summary
Retain in unit for minimum 2 years after last action or until records are superseded.

Final Disposition
D

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.
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.

INF-19 Library User Accounts INFORMATION GOVERNANCE 2024-05

Description

Records related to user profiles, use, and requests history of MacOdrum Library. May include notes and attached documentation, basic biographical and contact information, loan and inter-library loan information attached to user accounts, invoices and fines information, and correspondence.

Office of Primary Responsibility

MacOdrum Library

Retention Summary

Retention based on user profile type and active status within library systems.

Users external to Carleton University – Retain 2 years after expiration of account.

Users internal to Carleton University (students, faculty, staff, alumni) – Retain indefinitely with regular review or major changes to Library systems.

Final Disposition

Users external to Carleton University - D
Users internal to Carleton University - Indefinite

Retention Rationale

Retention based on current and anticipated operational use.

Filing Notes/Location

Current user accounts are managed through the Alma system. Non-current user accounts records may also exist in operational files of Library staff.

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.

INF-20	Course Materials & Resource Sharing	INFORMATION GOVERNANCE	2024-05

Description

Records related to course reserves, resource sharing, and interlibrary loans. May include invoices, notes and records on decisions regarding copyright, licensing documentation, vendor information, rightsholder documentation, course outlines and accompanying documentation, and correspondence.

Office of Primary Responsibility

MacOdrum Library

Retention Summary

Retain under direction of Access Services for 7 years from creation.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Records under this rule may be contained within email, network drive, Jira, and course reserves management system.

Records for reserves are automatically removed and no longer visible to students at the end of each term.

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Library Accessibility Services*, see: **INF-21.**
For *Alternate Formats*, see: **INF-22.**

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.

INF-21 Library Accessibility Services INFORMATION GOVERNANCE 2024-05

Description
Records related to the management of accommodation requests and actions to support the accessibility to resources and services of all library users. Records may include referral notifications and correspondence from the Paul Menton Centre, forms and correspondence from library users self-declaring a need for accommodations, and accompanying documentation as required.

Office of Primary Responsibility
MacOdrum Library

Retention Summary
Retain under direction of Access Services for 5 years from inactive status of library user.

Final Disposition
D

Retention Rationale
Retention based on current operational use.

Filing Notes/Location
Inactive status should be confirmed prior to deletion of records.

Secondary Copies
--

Special Instructions

Digitization: --

See also: For *Alternate Formats,* see: **INF-22**.

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.

INF-22	Alternate Formats	INFORMATION GOVERNANCE	2024-05

Description

Records related to publications and resources requested for alternate formats for accommodation requirements. May include invoices, notes, and records on decisions regarding copyright, licensing documentation, course outlines and accompanying documentation, patron information, and correspondence.

Office of Primary Responsibility

MacOdrum Library

Retention Summary

Retain under direction of Access Services for 7 years from creation.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Records under this rule may be contained within email, network drive and Jira.

Alternative formats are automatically rendered no longer visible to students at the end of each term.

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Library Accessibility Services,* see: **INF-21**.

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.

Carleton University Retention Schedule

Section 9

RESEARCH

Records and data in this category document the university's role in the administration of research, including projects undertaken by faculty, staff, and students. Records in this category include contracts and agreements, proposals, ethics administration, documentation of partnerships and collaborations, as well as awards and prizes to researchers.

RES-00	Policies, Procedures and Standards	3
RES-01	Reports and Statistics	4
RES-02	Project and Program Management	5
RES-03	Committees	6
RES-04	Partnerships and Collaboration	7
RES-05	Research Applications and Proposals	8
RES-06	Research Information	9
RES-07	Research Contracts and Agreements	10
RES-08	Research Ethics Board and Management	11
RES-09	Undergraduate & Course Related Ethics Case Files	12
RES-10	Graduate, Post-Graduate, Doctoral Fellows, Faculty & Staff Research Ethics Case Files	13
RES-11	Awards and Prizes to Researchers	14

CORPORATE RECORDS & ARCHIVES

Carleton University

RES-00	Policies, Procedures & Standards	RESEARCH	2023-05

Description

Consists of records relating to the establishment of department or unit administrative policies, procedures and standards for research activities. 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 minimum 3 years after superseded.

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 Policies, Procedures, and Standards*, see **GOV-00**.

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.

RES-01	Reports & Statistics	RESEARCH	2023-05

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to unit research activities. 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

Corporate Records and Archives will review reports for permanent preservation.

Retention Rationale

--

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.

RES-02	Projects & Program Management	RESEARCH	2023-05

Description

Records made, received, or used by units in support of projects that support research related activities. 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 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.

RES-03	Committees	RESEARCH	2023-05

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with supporting research activities or projects of the department or unit.

Office of Primary Responsibility

Designated unit.

Retention Summary

Retain in unit for minimum 3 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

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.

RES-04	Partnerships & Collaborations	RESEARCH	2017-06

Description

Consists of records related to the development, establishment and management of research partnerships and collaborations with other universities, research bodies (both public and private) and corporations. Records may include correspondence, memoranda of understanding (MOU), non-disclosure agreements, protocols, contribution agreements, service agreements, and related intellectual property and licensing agreements.

Office of Primary Responsibility

Office of the Vice-President (Research and International)

Retention Summary

Retain in unit for minimum 7 years from last action.

Final Disposition

AR

Corporate Records and Archives will select materials for possible permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Research Contracts and Agreements*, see: **RES-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.

RES-05	Research Applications & Proposals	RESEARCH	2017-06

Description

Consists of records relating to the submission and administration of proposals for research projects, both internal and external grants, successfully funded and non-funded. May include formal applications, budgets and supporting budget documents, project descriptions, agreements, reporting, biographical information of principal investigator and related researchers, and correspondence.

Office of Primary Responsibility

Office of the Vice-President (Research and International)

Retention Summary

Retain in unit for 7 years from last action.

Final Disposition

D

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.
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.

RES-06	Research Information	RESEARCH	2017-06

Description

Consists of records relating to administrative records of research projects and potential funding sources. Records may include information or profiles of researchers and correspondence, reference material, and internal or external publications sources.

Office of Primary Responsibility

Unit responsible for researcher(s).

Retention Summary

Retain in unit 7 years from last financial reporting.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.
Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions

Filing Notes/Location

Research data generated and held by researchers are outside the scope of this retention schedule. The requirements, in part, are determined by external factors (ie: scholarly journal standards, etc.)

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Research Contracts and Agreements*, see: **RES-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.

RES-07	Research Contracts & Agreements	RESEARCH	2017-06

Description

Consists of records related to the administration of executed research contracts and agreements, including addenda and amending agreements, preliminary and draft material, transfer agreements, contribution agreements, service contracts, purchase orders, subcontracts, non-disclosure agreements, and pay schedules. May also include licenses and agreements with respect to technology and intellectual property, and related confidentiality and non-disclosure agreements.

Office of Primary Responsibility

Office of the Vice-President (Research and International)

Retention Summary

Retain in unit for 7 years from expiration of contract.

Per the Signing Authorities Policy, units must deposit signed contracts and agreements with the University Secretary upon signing when that contract either (i) has a Total Value that is greater than $100,000 (ii) the Total Value is less than $100,001 but the initial term is five years or greater or (iii) potentially exposes the University to a Significant Risk. Units that are responsible for such contracts and agreements generally should retain copies of contract(s) based on anticipated use and CURS.

Final Disposition

AR – Selective retention by Corporate Records and Archives based on thresholds in Signing Authorities Policy.

Retention Rationale

Carleton University Signing Authorities Policy

Filing Notes/Location

Digital contracts, agreements and supporting documentation managed in the database system of the Carleton Office for Research Initiatives and Services (CORIS). Hardcopy versions of records are selected, digitized and uploaded along with born-digital records. Anticipated use is ongoing and selection of records in database is performed by authorized CORIS staff.

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Contracts and Agreements* (non-Research related), see: **ADM-05**.

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.

RES-08 Research Ethics Board and Management RESEARCH 2019-03

Description

Consists of records documenting the support of the activities and deliberations of the Carleton University Research Ethics Board (CUREB), the Animal Care Committee, and the Biohazards Committee. May include minutes, agendas, membership information, protocols and procedures, correspondence, reference materials, approval records from Animal Care Committee and Biohazards Committee, reports, and studies.

Office of Primary Responsibility

Office of Research Ethics

Retention Summary

Retain in unit for 7 years from last action.

Final Disposition

AR

Retention Rationale

Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)

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.

RES-09	Undergraduate & Course Related Ethics Case Files	RESEARCH	2019-03

Description

Consists of records regarding the ethics review applications and protocols for course and student research projects (course and undergraduate), which are of minimal risk. These records may include ethics review applications, ethics certificates, ethics protocols, approvals, related correspondence, progress reports, and final reports.

Office of Primary Responsibility

Office of Research Ethics

Retention Summary

Retain in unit for 3 years from last action.

Final Disposition

AR

Retention Rationale

Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014) Record Retention: Departmental Reviews of Student Projects / Interagency Advisory Panel on Research Ethics (February 2004)

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Graduate, Post-Graduate, Doctoral Fellows, Faculty & Staff Research Ethics Case Files*, see: **RES-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.

RES-10	Graduate, Post-Graduate, Doctoral Fellows, Faculty & Staff Research Ethics Case Files	RESEARCH	2019-03

Description

Consists of records related to the ethics review applications protocols for research projects of post-graduate, faculty and staff of Carleton University. These records may include ethics review applications, ethics certificates, ethics protocols, approvals, related correspondence, progress reports, and final reports.

Office of Primary Responsibility

Office of Research Ethics

Retention Summary

Retain in unit for 7 years from last action.

Final Disposition

AR

Retention Rationale

Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (2014)

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Undergraduate & Course Related Ethics Case Files*, see **RES-10**.

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.

RES-11	Awards & Prizes to Researchers	RESEARCH	2017-06

Description

Consists of working documents, membership, protocols, minutes, and guidelines of the Carleton University Prizes and Awards Committee (CUPAC). Programs, awards and descriptions, calls for nominations, nomination dossiers, evaluations and recommendations, lists of candidates, and notifications of acceptance.

Office of Primary Responsibility

Office of the Vice-President (Research and International)

Retention Summary

Retain in unit for minimum 3 years from last action.

Final Disposition

AR

Corporate Records and Archives may select materials for permanent preservation.

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.
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.

Carleton University Retention Schedule

Section 10

STUDENTS

Records and data in this category document the progression of students' academic work at the university as well as the delivery of student support services, both academic and non-academic. Records in this category cover student admissions, permanent and non-permanent academic records, advising, exchanges and internships, residence and student life services.

STU-00	Policies, Procedures and Standards	3
STU-01	Reports and Statistics	4
STU-02	Project and Program Management	5
STU-03	Committees	6
STU-04	Academic Records	7
STU-05	Student Applicants – Successful Registration	8
STU-06	Student Applicants – Unsuccessful/No Registration	9
STU-07	Discipline	10
STU-08	Financial Assistance (Students)	11
STU-09	Internships	12
STU-10	Recruitment (Students)	13
STU-11	Accommodations (Access/Disabilities)	14
STU-12	Advising (Students)	15
STU-13	Employment and Careers (Students)	16
STU-14	Exchange Students	17
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CORPORATE RECORDS & ARCHIVES

Carleton University

STU-00	Policies, Procedures, & Standards	STUDENTS	2023-05

Description

Consists of records relating to the establishment of department or unit policies, procedures and standards that effect student academics or student life at Carleton. 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 5 years after superseded.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

Transitory. Destroy when no longer needed for reference of 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.

STU-01	Reports & Statistics	STUDENTS	2023-05

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports related to student academics, retention, and student life at Carleton. 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

Corporate Records and Archives may select materials for permanent preservation.

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.

STU-02	Project & Program Management	STUDENTS	2023-05

Description

Records made, received, or used by units in support of student-centered programs, functions, activities, and operations. 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 last action.

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.

STU-03	Committees	STUDENTS	2023-05

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with duties related to student academics or student life at Carleton.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR

Corporate Records and Archives may select materials for permanent preservation.

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.

STU-04	Academic Records	STUDENTS	2017-05

Description

Consists of records relating to undergraduate and graduate students admitted and registered at Carleton University. Records may include general information about the student, advanced standing/transfer credit granted, transcripts and course outlines from other institutions, faculty transfer confirmations, course withdrawal forms, petition decision letters, academic progress records, courses taken, results by course, registration contracts, copies of immigration status, records of academic awards or honors, and Carleton transcripts and degree conferrals.

Office of Primary Responsibility

Registrar's Office

Retention Summary

Identified records must be retained permanently in order to maintain an accurate academic history of each student.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

Units with copies of materials for which the Registrar's Office maintains must securely destroy the records when no longer required.

Special Instructions

Digitization: Hard copy student records are replaced by digital version. Original hard copy securely destroyed.

See also: For *Faculty/Department Student Files*, see **STU-19.**

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.

STU-05	Student Applicants – Successful	STUDENTS	2024-05

Description

Consists of records of successful admission applications to Carleton University academic programs. Records may include applications, supporting documentation, portfolio materials, standardized test scores, final decisions of admission committees, appeal documentation and decisions, file analysis documents, and correspondence.

Office of Primary Responsibility

Admission Services
Registrar's Office

Retention Summary

Retain until enrollment of student. Records moved to student record after enrollment.

Final Disposition

--

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Analog files received for the admission process are digitized but retained on the same retention schedule.

Secondary Copies

--

Special Instructions

Digitization: **--**

See also: For *Academic Records*, see: **STU-04**.
For *Student Applicants – Unsuccessful or No Enrollment*, see **STU-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.

STU-06	Student Applicants – Unsuccessful/No Registration	STUDENTS	2024-05

Description

Consists of records of admission applications to Carleton University programs of individuals that were unsuccessful, withdrawn or incomplete, or of individuals who were accepted but declined to register. Records may include applications, supporting documentation, portfolio materials, and standardized test scores, final decisions of admission committees, appeals, and correspondence.

Office of Primary Responsibility

Registrar's Office – Admission Services

Retention Summary

Retain for 1 year after admissions record becomes inactive.

Final Disposition

Secure destruction

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Analog files received for the admission process are digitized but retained on the same retention schedule.

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Academic Records*, see: **STU-04.**
For *Student Applicants – Successful*, 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.

STU-07	Discipline	STUDENTS	2017-05

Description

Consists of records relating to student involvement with the University's non-academic code of behavioural conduct. Records may include complaints, submissions, and interview notes, hearing documents, security reports, decisions, agreements, appeals documentation, correspondence and related documentation.

Office of Primary Responsibility

Office of the Vice President (Students and Enrolment)

Retention Summary

Retain for 7 years after graduation of student.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

University Governance Secretary and the Director of Student Affairs are involved with the process of enforcing and appealing the non-academic code of behavioural contact, including campus trespass bans.

Special Instructions

Digitization: --

See also: For *Trespass Notices and Appeal Records*, see: **CAM-14.**

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.

STU-08	Financial Assistance (Students)	STUDENTS	2017-05

Description

Consists of records relating to financial aid, Ontario Student Assistance Program (OSAP), scholarships, bursaries and awards. Records may include copies of financial records, signature forms, approved gift agreements, award proposals, requirements for eligibility of awards and correspondence.

Office of Primary Responsibility

Student Services – Awards and Financial Aid

Retention Summary

Retain in unit for 7 years from last action.

Final Disposition

D

Retention Rationale

Retention based on current operational need.

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.

STU-09	Internships	STUDENTS	2017-05

Description

Consists of records relating to the administration and organization of exchange programs, practicums, internships or experiential learning. Records may include exchange agreements, requirements, application procedures and correspondence

Office of Primary Responsibility

Carleton International
International Student Services Office

Retention Summary

Retain in unit minimum 7 years from creation.

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.

STU-10	Recruitment (Students)	STUDENTS	2017-05

Description

Consists of records relating to promotional activities for the purpose of recruiting new students to Carleton University such as open houses, tours, participation in information fairs and functions. Records may include correspondence, planning records, schedules and records used to track potential applicants.

Office of Primary Responsibility

Undergraduate Admissions
Unit responsible for recruitment efforts

Retention Summary

Retain in unit minimum 7 years from creation.

Final Disposition

AR

Corporate Records & Archives may select certain recruitment and promotional materials for permanent preservation.

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.
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.

STU-11	Accommodations (Access/Disabilities)	STUDENTS	2017-05

Description

Consists of records relating to academic accommodations programs, evaluations by health practitioners, liaising with faculty and departments, and various student support services. These services may include note taking assistance, adaptive equipment loans and sign language interpretation.

Office of Primary Responsibility

Paul Menton Centre

Retention Summary

Retain 10 years after file closed.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Library Accessibility Services*, see: **INF-21.**

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.

STU-12	Advising (Students)	STUDENTS	2023-05

Description

Records relating to academic and non-academic support programs, financial education programs, community development programs and services such as mediation, problem solving and crisis intervention, care reports and records related to care reports, student complaints, dispute resolution, training and social activities.

Office of Primary Responsibility

Student Services
Unit responsible for service delivery

Retention Summary

Retain in unit for 5 years from last action on file.

Final Disposition

D

Retention Rationale

--

Filing Notes/Location

Student advising records are defined by function and not record location or format. These records may take the form of emails, hard copy correspondence and records, notes, electronic or digitized materials, chat or messaging records, database records, and voicemails.

Secondary Copies

--

Special Instructions

Digitization: Hard copy records may be replaced by digitized versions.

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.

STU-13	Employment and Careers (Students)	STUDENTS	2017-05

Description

Consists of records relating to career counselling, questionnaires, diagnostic tests and job search assistance information.

Office of Primary Responsibility

Carleton University Co-op
Carleton University Career Services
Unit responsible for service delivery

Retention Summary

Retain in unit for 5 years from last action on file.

Final Disposition

D

Retention Rationale

Retention based on current operational need.

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.

STU-14	Exchange Students	STUDENTS	2017-05

Description

Consists of records relating to the administration and organization of exchange programs, practicums, internships or experiential learning. Records may include exchange agreements, requirements, application procedures, exchange contacts and correspondence.

Office of Primary Responsibility

International Student Services Office
Units responsible for applicable practicums, internships and/or experiential learning

Retention Summary

Retain in unit for 10 years from end of program.

Final Disposition

AR

Corporate Records & Archives may select materials for permanent preservation prior to destruction.

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.
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.

STU-15	International Students	STUDENTS	2017-05

Description

Consists of records relating to the administration of services for international students. Records may include memoranda of understanding, objectives, lists of participating institutions, lists of student participants, conditions and procedures (registration, assistance, insurance, troubleshooting etc.)

Office of Primary Responsibility

International Student Services Office
Unit responsible for service delivery

Retention Summary

Retain in unit for 5 years from last action on file.

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.

STU-16	Diversity & Inclusion	STUDENTS	2017-05

Description

Rule replaced by *Human Rights Case Files,* CAM-28. See Campus Operations section of the Carleton University Retention Schedule.

Office of Primary Responsibility

--

Retention Summary

--

Final Disposition

--

Retention Rationale

--

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.

STU-17	Orientation (Students)	STUDENTS	2017-05

Description

Consists of records relating to orientation activities for new students. Records may include budget, registration and attendance lists, publicity, photographs and recordings, administrative logistics and correspondence.

Office of Primary Responsibility

Student Experience Office
Unit responsible for delivery of event or creation of materials

Retention Summary

Retain in unit minimum 5 years from event or creation of materials.

Final Disposition

AR

Corporate Records & Archives may select materials for permanent preservation.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: For *Communications*, see: **COM-09**.

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.

STU-18	Student Groups	STUDENTS	2023-05

Description

Records that document the university's interaction with undergraduate and graduate student associations on campus, student governments and other student organizations. Records may include correspondence, budget and event reports, reports and surveys by or on the student body of the department, and documentation concerning group membership and use of university space for student group use.

Office of Primary Responsibility

Unit responsible for interacting with student group.

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR

Corporate Archives may select specific records for permanent preservation.

Retention Rationale

Retention based on anticipated operational need.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: Banking records collected or retained on behalf of student groups should follow retention scheduling for *Banking* – ***FIN-08*** *(Financial Management).*

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.

STU-19	Faculty/Department Student Files	STUDENTS	2023-05

Description

Records relating to documenting the admission, registration, academic performance, monitoring, advising, examination and convocation of individual students. Records may include award notifications, consent forms, affidavit, evaluations, exam deferral requests, grades/results, and approved leaves of absence forms, correspondence, and validations of participation and withdrawal forms.

Office of Primary Responsibility

Academic department or school responsible for the student.

Retention Summary

Retention and disposal procedures currently under review. Please contact Corporate Records & Archives for more information.

Final Disposition

D

Retention Rationale

Retention based on current operational need.

Filing Notes/Location

Permanent academic student records are maintained by the Registrar's Office.

Secondary Copies

--

Special Instructions

Digitization: Hard copy records that are near disposal period not recommended for replacement by digitized copies. Contact Corporate Records & Archives for more information.

See also: For the permanent *Academic Record*, see: **STU-04**.

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.

Carleton University Retention Schedule

Section 11

TEACHING

Records and data in this category document university pedagogy and delivery of teaching and learning services. Records in this category include scheduling, examinations, program review and accreditation, and general teaching supports.

TEA-00	Policies, Procedures and Standards	3
TEA-01	Reports and Statistics	4
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TEA-06	Student Assignments and Examinations	9
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TEA-10	Non-Credit Courses	13

CORPORATE RECORDS & ARCHIVES

Carleton University

TEA-00	Policies, Procedures & Standards	TEACHING	2024-05

Description

Consists of records relating to the establishment of department or unit policies, procedures, and standards for teaching and learning support. 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 minimum 5 years from creation.

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.

TEA-01	Reports & Statistics	TEACHING	2024-05

Description

Records include reports as well as supporting documentation and statistics created or used to produce reports related to administration and delivery of teaching and learning mandates. 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

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.

TEA-02	Projects & Program Management	TEACHING	2024-05

Description

Records made, received, or used by units in support of teaching and learning. 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 document an alternative retention and disposition. Contact Corporate Records & 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.

TEA-03	Committees	TEACHING	2024-05

Description

Records documenting the proceedings and actions of standing or ad hoc committees tasked with pedagogy development in units.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR

Please contact Corporate Records & Archives to document committee terms of reference and retention requirements.

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.

TEA-04	Accreditation	TEACHING	2017-06

Description

Consists of records relating to obtaining and maintaining accreditation for University programs from external organizations, board and associations.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for minimum 10 years from approval of accreditation.

Final Disposition

AR

Corporate Records & Archives will select final reports and supporting documentation for permanent preservation.

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.

TEA-05	Courses & Curriculum	TEACHING	2017-06

Description

Consists of records relating to the management and administration of courses in degree programs. Records may include syllabi, course descriptions and outlines, course requests and proposals, grading schemes and grade reporting and correspondence.

Office of Primary Responsibility

Faculty departments and units.

Retention Summary

Retain in unit for 10 years from academic calendar year of creation.

Final Disposition

AR

Corporate Records & Archives may select samples of materials for permanent preservation.

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.

TEA-06	Student Assignments & Examinations	TEACHING	2026-05

Description

Consists of records relating to student assignments and examination material that is unclaimed by students. Records may include exams, quizzes, student papers, thesis defense results, and proctoring records. This can include both physical and digital records.

Office of Primary Responsibility

Faculty and department units.

Retention Summary

Retain for 1 year after creation.

Final Disposition

D

Retention Rationale

Freedom of Information and Protection of Privacy Act, RSO, 1990, c.F31, s.2 (2)
Retention based on current operational use.
Materials used for an appeal process cannot be destroyed until said process is exhausted.

Filing Notes/Location

--

Secondary Copies

--

Special Instructions

Digitization: --

See also: -- the Senate's Policy on Appeals and Petitions for instances where these records may require to be retained beyond their retention period.

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.

TEA-07	Program Review	TEACHING	2017-06

Description

Consists of records relating to internal and external reviews of academic programs. These records may include self-studies, background supporting documentation, reports and related correspondence.

Office of Primary Responsibility

Office of the Provost and Vice-President (Academic)

Retention Summary

Cyclical reviews – Retain in unit for 2 review processes.
Ad hoc reviews – Retain in unit for 7 years upon completion of review.

Final Disposition

AR

Corporate Records & Archives will select reviews for permanent preservation.

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.
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.

TEA-08	Scheduling & Enrolment	TEACHING	2017-06

Description

Consists of records relating to curriculum coordination and scheduling of courses in degree programs, course calendars, and timetables. Records may include course preference forms, course selections, enrolment forecasts, course lists by term, room allocation, documentation concerning the creation of course calendars and correspondence.

Office of Primary Responsibility

Office of the Vice-President (Students and Enrolment)

Retention Summary

Retain in unit for 7 years from academic calendar year of creation.

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.

TEA-09 Educational Technologies and Applications TEACHING 2026-05

Description
Consists of records relating to the support of teaching and course delivery. Records may include reports, guides, and correspondence related to methodologies or tools used as part of teaching.

Office of Primary Responsibility
Faculty and department units

Retention Summary
Retain in unit for 5 years from last action.

Final Disposition
AR

Corporate Records & Archives may select materials for permanent preservation.

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.

TEA-10	Non-Credit Courses	TEACHING	2026-05

Description

Consists of records relating to the management and administration of programs that do not result in credits and do not go towards completion of a degree.

Office of Primary Responsibility

Faculty and department units

Retention Summary

Retain for 10 years after cessation of course.

Final Disposition

AR

Corporate Records & Archives may select materials for permanent preservation.

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.