

# Records Management Project Update



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# What is required?

- Have conducted extensive consultation with academic and administrative units.
- Have incorporated the unique recordkeeping requirements identified by UOIT's Faculties.
- We ask for your recommendation for approval of the Records Classification and Retention Schedule (RCRS) and Records Disposition Procedures by the Senior Leadership Team, subject to comment from CPRC, Grad Studies and Research Board.

# Information Governance

## Records Management Project

Records Management Policy

IT Issues (Within Scope)

Records Disposition Procedures

Records Classification and Retention Schedule

Requirements for Records Protection

Banner Document Management (Scanning)

Strategies for applying RCRS to data in IT Systems, based on information developed during RCRS creation.

Requirements for records: retention, protection, storage systems and locations

Document Imaging Policy

Email Retention Policy

Recommended Disposition Plan for Records in Database Systems

Document Imaging Guidelines

Procedures Manuals of Individual Programs

Banner (HR, Finance Registrar)

Banner Document Management

Blackboard Learn

Sharepoint

# Policy Instruments

- **Records Management Policy**
  - Approved June 22
- **Document Imaging Policy**
  - Approved June 25
- **Records Disposition Procedure**
  - Planned March 2016
- **Records Classification and Retention Schedule**
  - Planned March 2016

# Policy Instruments

- **Records Disposition Procedure**
  - Ensure that disposition of Records happens systematically.
  - Keep a record of all disposition of paper and electronic records
  - Identify operational or regulatory changes that may lead to changes to RCRS

# Methods of disposition

- Destruction
- Secure destruction
  - Maintains security throughout destruction. Renders the Record unrecoverable.
  - Ex: records containing personal information.
- Transfer to third party\*
  - Ex: OSAP documents.
- Transfer to archives\*
  - Ex: Board minutes, academic calendar.

\* Transfer of records must be governed by a written agreement and result in a transfer receipt.

# Disposition Process

- Inventory eligible records
  - Including records series / file description & date range / eligibility date / trigger date
- Gather eligible records and verify
  - No records holds / no pending FIPPA requests / no unanticipated audit or operational need
- Record Authority or Disposition Authority signs off to authorize disposition
- Carry out disposition and obtain proof of disposition
  - Transfer receipt, certificate of destruction (internal or external), system generated log
- Forward this package to [recordsmanagement@uoit.ca](mailto:recordsmanagement@uoit.ca) for retention

# Disposition Process

(revisions to RCRS)

- As part of the disposition authorization form, report on any changes to recordkeeping over the past year, or anticipated in the future.
- Changes may include:
  - New or amended legislation or regulations
  - New guidance from professional or accreditation bodies
  - Changes to information systems used in recordkeeping
  - Changes to responsibility for recordkeeping (new department, transfer of duties between units, etc.)



# Policy Instruments

- **Records Classification and Retention Schedule**
  - Comprehensive list of all types of Records at UOIT.
  - Rules for each type: retention period, protection, method of disposition, reference to any applicable legislation / regulation / obligation

# RCRS Drafting and Consultation Process

- Over 60 meetings with functional areas (managers, record users)
- Worked with units to identify the types of records they use and all operational and compliance requirements.
- Review of legislation, regulations, professional standards, contractual obligations.
- Benchmark against other universities.
- Draft a retention schedule/retention period based on the information gathered from units.
- Approximately 250 Records Series created.

# RCRS Sections (Who was consulted)

<b>Campus Administrative Services</b>	<b>OCIS, Health &amp; Safety , Biosafety &amp; Nuclear Safety</b>
<b>Compliance, Legal and Risk Management</b>	<b>Office of the University Secretary and General Counsel</b>
<b>Finance</b>	<b>Finance, Faculty PBOs</b>
<b>Governance</b>	<b>Office of the University Secretary and General Counsel</b>
<b>Government, Community and Institutional Relations</b>	<b>External Relations (Government Relations, Alumni, Advancement, Communications &amp; Marketing)</b>
<b>Human Resources</b>	<b>Human Resources (Compensation, Pension &amp; Benefits, Recruitment/New Hires/Employee record), Academic Affairs</b>
<b>Information Technology</b>	<b>Information Technology Services, Business Analysts in Functional Areas.</b>

# RCRS Sections (Who was consulted)

<b>Research</b>	<b>Research Services (Research Data, Research Services Team, Intellectual Property, Partnerships, Ethics and Compliance, Entrepreneurship), FSSH</b>
<b>Students</b>	<b>Registrar's Office, Office of Graduate Studies, Student Life (Student Accessibility, Student Experience, Student Learning, Career, Athletics, Mental Health), Academic Advising, Practicums (FSSH), Faculty of Science, FSSH, FBIT.</b>
<b>Teaching</b>	<b>OIRA, Library, Teaching &amp; Learning Centre, Academic Advising, PBOs, FHS, FSSH, FBIT</b>

# Records Management Website

- Records Classification and Retention Schedule
- Help and Advice:
  1. Disposition and Destruction of Records
  2. Document Imaging
  3. Implementing the RCRS for the first time
  4. Organizing (paper) records for retention
  5. Organizing Shared Drives for retention
  6. Record retention for committees, working groups and University Governing Bodies
  7. Retention of Contracts
  8. Transitory and University Records
  9. **Anything else?**

# Disposition Procedure and RCRS Consultation path

- PACIP (November 17)
- Policy Advisory Committee (December 17)
- Academic Council (January 19)
- Graduate Studies Committee (January 26)
- Curriculum and Program Review Committee (January 27)
- PACIP (deliberation) (February)
- Senior Leadership Team (approval) (Feb/March)

# Implementation of RCRS

## (Next 6-12 months)

- Training material development
  - Guidance for UOIT website, RM awareness video, implementation training workshop.
  - Training schedule for departments, faculties, services.
- Paper files
  - Implementation workshops for individual units and support for inventory and disposition of records.
  - After disposition: evaluate remaining records holdings and space available for storage.
- Local electronic records
  - *Including documents on shared drives, hard drives, personal devices.*
  - Training documents on website: organizing shared drives, advice on appropriate software and devices for University Records.
  - Specific questions may be addressed while assisting with paper implementation.
- Enterprise Systems
  - *Including University-wide systems: Banner, Banner Document Management, Outlook, etc.*
  - Project with DC-IT to examine backup practices, retention capabilities, design of database systems. How can RCRS be implemented into these systems?
  - Configure retention module to implement RCRS into BDM.

# What is required?

- Have conducted extensive consultation with academic and administrative units.
- Have incorporated the unique recordkeeping requirements identified by UOIT's Faculties.
- We ask for your recommendation for approval of the Records Classification and Retention Schedule (RCRS) and Records Disposition Procedures by the Senior Leadership Team, subject to comment from CPRC, Grad Studies and Research Board.





Item	X.XX
Parent Policy	Records Management Policy
Framework Category	Legal, Compliance and Governance
Approving Authority	Senior Leadership Team
Policy Owner	University Secretary
Approval Date	
Review Date	
Supersedes	

## RECORDS DISPOSITION PROCEDURE

### PURPOSE

1. The purpose of these procedures is to establish a consistent process for the retention and disposition of University Records according to the Retention Periods in the Record Classification and Retention Schedule.

### DEFINITIONS

2. For the purposes of these procedures the following definitions apply:

**“Disposition”** means the final retention action carried out on a Record. This may include destruction, deletion, secure destruction or deletion, or transfer for archival review or to a third party.

**“Disposition Authority”** means a position responsible for authorizing Disposition of University Records as delegated by the Record Authority.

**“Official Copy”** means the copy of a University Record designated in local procedures to satisfy the University’s retention requirements where multiple copies exist.

**“Record Authority”** means the position designated in the RCRS as having authority over a particular Records Series.

**“Record”** means any record of information however recorded, whether by electronic means, in print form, on film or otherwise.

**“Records Classification and Retention Schedule”** or **“RCRS”** means a comprehensive list of all of the types of Records produced or received by the University. The RCRS groups Records into Records Series and provides rules for each including a Retention Period, an appropriate level of protection, Disposition method, and a citation to applicable legislation or regulations.

**“Records Hold”** means a written notice to suspend Disposition for designated records. A Records Hold may be authorized by General Counsel for legal reasons or by the Record Authority for unanticipated operational or audit needs.

**“Records Series”** means a classification of Records that are related by the function and activity they support. All Records in a Records Series are subject to the same Retention Period, active and inactive storage period, Disposition method and legislative and regulatory requirements.

**“Responsible Unit”** means the unit that must ensure that Official Copies are retained for the full duration of their Retention Period and Disposition occurs. This may be a named unit, or any unit that creates it if multiple units have responsibility for a Records Series.

**“Retention Period”** means the length of time Records in a Records Series must be retained before Disposition.

**“Retention Trigger”** means the event that triggers the Retention Period to start counting down.

**“Transitory Copy”** means an exact duplicate of the content of an Official Copy.

**“Transitory Record”** means any Record other than a University Record that has only short term value. Transitory Records may include:

- a) Announcements and notices of a general nature.
- b) Drafts.
- c) Transitory Copies of University Records.
- d) Printouts of databases where the University Record resides in the database.

**“University Record”** means a fixed unit of information in any format that documents a transaction, decision or relationship made by the University. It has continuing value in the future to complete further work, to provide evidence, to serve as institutional memory of obligations, responsibilities, decisions and actions, or to document the unique character and history of the institution.

#### **SCOPE AND AUTHORITY**

- 3. These procedures apply to the retention and Disposition of all University Records. Disposition of Transitory Records is governed by the Records Management Policy.
- 4. The Record Authority for each Records Series is defined in the Records Classification and Retention Schedule. The Records Management Policy assigns authority for Disposition of University Records to the Record Authority. This authority may be delegated to one or more Disposition Authorities who will authorize and manage Disposition on their behalf.
- 5. The Disposition Authority is a supervisory role, with authority to:
  - 5.1. Establish local procedures or processes for organizing Records and tracking Retention Periods. These local procedures or processes should take into account work functions, and the repositories that house their records, whether physical or information systems.
  - 5.2. Identify Official Copies of University Records and ensure that Transitory Copies are destroyed prior to the end of the Retention Period.
  - 5.3. Authorize Disposition of University Records to be carried out in accordance with these procedures and assign a delegate to carry out the Disposition process.
  - 5.4. Report any operational or regulatory changes that may affect recordkeeping to the University Secretary delegate.
  - 5.5. Ensure that completed Disposition Authorization Forms are submitted to the University Secretary delegate.

6. All University employees, faculty, staff, volunteers and members of the Board of Governors will ensure that any University Records in their care or control are stored in an Approved Repository that is subject to the retention rules in the RCRS and that any Transitory Copies are destroyed prior to the end of the Retention Period of the University Records in question.
7. The Office of the University Secretary will assign a delegate to monitor and administer the ongoing retention and Disposition of Transitory and University Records. This position will:
  - 7.1. Create guidelines for organizing Records and tracking Retention Periods in the various repositories in use at the University.
  - 7.2. Maintain submitted Disposition Authorization Forms and supporting documents as a University Record of Disposition.
  - 7.3. Evaluate operational and regulatory changes reported by Responsible Units and determine whether these changes necessitate a review or modification of all or part of the Records Classification and Retention Schedule in accordance with the Policy Framework.
  - 7.4. Provide training and support to Responsible Units to ensure the consistent application of these procedures and the Records Classification and Retention Schedule.
8. The University Secretary and General Counsel, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of these Procedures.

## PROCEDURES

9. The Official Copy of a University Record must be retained for the full duration of its Retention Period as defined in the RCRS. Once the Retention Period of a University Record has expired, it is eligible for Disposition. The Retention Period begins to count down only after the Retention Trigger defined in the RCRS has occurred.
10. **Disposition Process**
  - 10.1. Responsible Units must evaluate their holdings of University Records to compile a list of eligible Records at least once per year. The list may be created manually using the Disposition Authorization Form, or by an automated system.
  - 10.2. The list of eligible Records must include, at a minimum, the:
    - a) Record Series of eligible Records;
    - b) File descriptions and date range within each Record Series;
    - c) Retention Trigger date for eligible Records.
    - d) The date when Records became eligible for Disposition.

- 10.3. All copies of Records on the list must be gathered together and verified to ensure that no ineligible Records have been mistakenly collected.
  - 10.4. The Disposition Authority will authorize Disposition using the Disposition Authorization Form. In doing so, the Disposition Authority certifies that:
    - a) There are no legal or operational Records Holds or FIPPA access to information requests that affect eligible Records.
    - b) There are no unanticipated operational or audit needs regarding eligible Records.
  - 10.5. Any eligible Records that are subject to a legal or operational Records Hold, FIPPA access to information request or unanticipated operational or audit needs, must be removed from the list and must not undergo Disposition.
  - 10.6. **During the Disposition process, Transitory Copies should be reviewed. Any Transitory Copies that are no longer needed should be destroyed.**
  - 10.7. Disposition will be applied according to the Disposition method in the Records Classification and Retention Schedule.
- 11. Proof of Disposition**
- 11.1. Proof of Disposition must be created or obtained to document that Disposition was carried out as intended.
  - 11.2. For paper Records this will be:
    - a) A transfer receipt;
    - b) A certificate of destruction from a third-party record destruction vendor;
    - c) Or a form certifying that an employee carried out the destruction.
  - 11.3. For electronic Records this will be:
    - a) A system-generated log;
    - b) Or a form certifying that Disposition was carried out.
  - 11.4. The Disposition Authorization Form, list of eligible Records, and proof of disposition will be forwarded electronically to the University Secretary Delegate for retention.
- 12. Organizing Records**
- 12.1. If there are duplicate copies of a University Record in multiple locations, formats or systems, designate a single Official Copy for retention. Transitory Copies may be destroyed when no longer needed and must not be retained longer than the Official Copy. Transitory Copies containing confidential or personal information require secure destruction.
  - 12.2. Any documents or files in a folder should be from the same Records Series, with the same Retention Trigger date. This will allow Retention Periods to be tracked and Disposition to be applied at the file or folder level, not the document level.

- 12.3.** When the Retention Trigger is met a file or folder must be cut off and rendered inactive. At the end of each year, files with a year-end Retention Trigger must be cut off and a new file or folder created. Any material that is still in progress may be transferred to the new file or folder.

**13. Records Hold**

- 13.1.** The General Counsel will issue a written Records Hold where there is actual or potential legal dispute, litigation or other legal matter, identifying Records related to the matter. The Records Hold will remain in effect until rescinded in writing.
- 13.2.** If there is unanticipated operational or audit need for Records, the Record Authority may issue a written Records Hold. A Records Hold will identify the affected Records and Records Series, and include an anticipated end date.
- 13.3.** Copies of Records Holds will be sent to:
  - a)** Record Authorities
  - b)** Disposition Authorities
  - c)** Responsible Unit(s)
  - d)** System administrators of involved systems
  - e)** University Secretary Delegate
  - f)** Any other necessary personnel
- 13.4.** Upon being notified of a Records Hold, Responsible Units will suspend all Disposition of affected Records immediately. Records Holds will remain in effect until rescinded in writing.
- 13.5.** Records Series requiring repeated operational or audit Records Holds will be evaluated by the University Secretary Delegate to determine if their Retention Period continues to meet UOIT's operational needs, or if a revision is required.

**14. Revisions to the RCRS**

- 14.1.** As part of the Disposition Authorization Form, units will report on any changes or anticipated changes to recordkeeping requirements. Changes may include:
  - a)** Changes to legislation or regulations that will affect recordkeeping.
  - b)** New guidance from professional or accreditation bodies that will affect recordkeeping.
  - c)** Changes to information systems used in recordkeeping.
  - d)** Changes to responsibility for recordkeeping (new programs, transfer of responsibility between units, etc.)
- 14.2.** For any regulatory or operational changes, units should identify the:
  - a)** Records Series that may require modification.

- b) Nature of the modification (i.e. change to Retention Period, citation, scope notes, etc.)

14.3. Reported operational or compliance changes will be evaluated by the University Secretary Delegate to determine whether to initiate a review of existing Records Series or the creation of new Records Series in accordance with UOIT’s Policy Framework.

**15. Disposition Method**

15.1. The Disposition Method for each Records Series is included in the Records Classification and Retention Schedule.

**15.2. Secure Destruction**

Records containing sensitive or confidential information or personal information require Secure Destruction. Secure Destruction maintains security throughout the destruction process and renders the Record unrecoverable. Secure Destruction services may be contracted from third-party service providers, including cross-cut shredding, pulping or incineration.

15.3. If the Disposition method for Eligible Records is Destruction, a designated person must witness either:

- a) The secure destruction of the Eligible Records;
- b) Or the removal of Eligible Records for destruction by a service provider.

**15.4. Transfer to third parties**

Compliance obligations may dictate that Records be transferred to the custody and control of a third party. These transfers must be governed by a written agreement. Transfer to a contracted Records storage facility where the University retains ownership of the Records is a method of storage, not a method of Disposition.

**15.5. Archives**

University Records deemed to have historical value will be identified in the RCRS for transfer to the UOIT Archives as their method of Disposition. These transfers must be governed by a written agreement. Records transferred to the UOIT Archives will remain accessible to the Responsible Unit and may be subject to a FIPPA Access to Information request.

**MONITORING AND REVIEW**

16. These procedures will be reviewed every three years. The University Secretary delegate is responsible to monitor and review these Procedures.

**RELEVANT LEGISLATION**

17. *Freedom of Information and Protection of Privacy Act*, RSO 1990, c F.31

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

- 18.** Records Management Policy
  - Records Retention and Classification Schedule (In development)
  - Disposition Authorization Form
  - Document Imaging Policy
  - UOIT Access to Information and Protection of Privacy Policy



Item	6.22
Parent Policy	Records Management Policy
Framework Category	Legal, Compliance and Governance
Approving Authority	Senior Leadership Team
Policy Owner	University Secretary
Approval Date	
Review Date	
Supersedes	

## RECORDS CLASSIFICATION AND RETENTION SCHEDULE

### PURPOSE

1. The purpose of this directive is to provide a comprehensive list of the types of University Records and rules to retain and protect them according to operational and compliance needs.

### DEFINITIONS

2. For the purposes of this directive the following definitions apply:

**“Approved Repository”** means a records repository (physical filing or information system) that has been approved by the Record Authority for use in retaining and protecting University Records.

**“Citations”** means a reference to applicable legislation, regulations, accreditation requirements, professional association guidance or University Policy Instruments that create recordkeeping obligations.

**“Disposition”** means the final action to be taken on a University Record after its Retention Period has expired.

**“Hybrid”** means a Records System comprising both paper and electronic records.

**“Official Copy”** means the copy of a University Record designated in local procedures to satisfy the University’s retention requirements where multiple copies exist.

**“Protection”** means the level of protection to be provided for a particular Records Series.

**“Record Authority”** means the position responsible for determining the operational value of a particular Records Series and authorizing Approved Repositories.

**“Records Series”** means a classification of Records that are related by the function and activity they support.

**“Records System”** means the paper or electronic system that houses a given Records Series.

**“Responsible Unit”** means the unit that must ensure Official Copies of the University Records of a particular Records Series are retained in an Approved Repository for the full duration of their retention period and disposed of when eligible. This may be a particular unit, or it may be the originating unit if multiple units have responsibility for records in a Records Series.

**“Retention Period”, “Retention”** means the length of time Records in a Records Series must be retained before Disposition.



**“Retention Trigger”, “Trigger”** means the event that causes the Retention Period to start counting down.

**“Scope Notes”** means a description of the characteristics, functions and documents that make up the records in a Records Series.

**“Source”** means the origin(s) of a Records Series, whether another internal unit, or a third party.

**“Transitory Copy”** means an exact duplicate of the content of an Official Copy.

**“University Record”** means a fixed unit of information in any format that documents a transaction, decision or relationship made by the University. It has continuing value in the future to complete further work, to provide evidence, to serve as institutional memory of obligations, responsibilities, decisions and actions, or to document the unique character and history of the institution.

**“Vital Record”** means a University Record necessary to continue the core functions of the University.

#### **SCOPE AND AUTHORITY**

3. This Directive applies to all University Records.
4. The University Secretary and General Counsel, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Directive.

#### **DIRECTIVE**

5. **Transitory and Official Copies**
  - 5.1. Official Copies are subject to all of the rules and requirements of the Records Series.
  - 5.2. Transitory Copies may be disposed of as soon as their value is complete, but must not be kept longer than their Retention Period. They are subject to the same method of disposition and access protections as Official Copies.
6. **Functional categories of University Records**
  - 6.1. **Campus Administrative Services (CAS)**

Consists of records related to services such as asset maintenance, facilities and inventory management, space planning, utilities, health and safety, emergency management, and library services.
  - 6.2. **Compliance, Legal and Risk Management (CMP)**

Consists of records related to compliance including access to information and privacy, records management and mandated government reporting, legal matters including legal advice, litigation and claims and risk management.
  - 6.3. **Finance (FIN)**

Consists of records relating to the management of the University's finances including accounting, audits, banking, budgets, procurement, financial reporting and taxes.

**6.4. Governance (GOV)**

Governance function includes records related to University policy and the bicameral governance of the University including meeting minutes and elections of the Board of Governors and Committees, Academic Council and Committees, Faculty Councils and PACIP.

**6.5. Government, Community and Institutional Relations (GCIR)**

Consists of records related to enhancing the reputation of the University, establishing, strengthening and growing relationships and partnerships with all levels of government, business, other institutions and the community, donors, students and alumni, and marketing and promoting the University.

**6.6. Human Resources (HUM)**

Includes records related to employees, attendance and scheduling, employee relations, compensation, payroll, pension and benefits, recruitment and hiring, performance evaluation, training and development as well as search committees. Also includes records of Academic Affairs: Faculty Official Files, tenure and promotion, collective bargaining and grievances and arbitration.

**6.7. Information Technology Services (ITS)**

Consists of records related to Information technology, including learning tools and other IT assets, software acquisition and the provision of access rights.

**6.8. Local Administration (LAD)**

Consists of general records that may be applicable to all units. This section should serve as general guidelines if no other records series apply. If specific operational or compliance needs apply to certain records, those should be documented in a functional records series.

**6.9. Research (RES)**

Includes records related to the administration of research, including partnerships and collaboration applications and proposals, agreements, and projects. Also includes records required for compliance with contractual and grant obligations, and research materials and data that have been licensed to the University by IP holders.

**6.10. Students (STU)**

Includes records related to degree granting and to student academic performance including applications, admissions, discipline, grades, transcripts and

communications. Also included are records related to support services for students including accommodations, advising, employment and careers, exchange and international students, financial assistance, internships and orientation.

**6.11. Teaching and Learning (TEA)**

Includes records related to faculty administrative and teaching functions such as accreditation, courses and curriculums, program reviews, scheduling and enrolment as well as student evaluations and the Library functions. Also includes institutional research and analysis to support student retention and other institutional goals.

**MONITORING AND REVIEW**

7. This directive will be reviewed as necessary each year to ensure that any new or changed operational or compliance obligations are considered. The Records Management Coordinator, or successor thereof, is responsible to monitor and review this Directive.

**RELEVANT LEGISLATION**

8. *Freedom of Information and Protection of Privacy Act*, RSO 1990, c F.31

Other relevant legislation is documented within Records Series.

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

9. Records Management Policy  
Records Disposition Procedure (In development)  
Disposition Authorization Form  
Document Imaging Policy  
UOIT Access to Information and Protection of Privacy Policy

## Campus Administrative Services

Consists of records related to services such as asset maintenance, facilities and inventory management, space planning, utilities, health and safety, emergency management, and library services. *For student-related services, see: Student function.*

Code	Record Series Name	Trigger	Retention Period
CAS-0100	Campus Planning	Campus Master Plan superseded	Trigger + 7 years
CAS-0110	Planning: Campus Master Plan		Permanent
CAS-0150	Major Projects	End of project	Trigger + 10 years
CAS-0200	Capital Projects	End of project	Trigger + 10 years
CAS-0210	Building Drawings and Specifications	Disposition of asset	Trigger + 10 years
CAS-0220	Building Permits	End of construction	Trigger + 10 years
CAS-0300	Maintenance and Repairs	End of fiscal year	7 years
CAS-0310	Maintenance Specifications	Disposition of asset	Trigger
CAS-0350	Lab Equipment: Purchase, Warranty & Repairs	Disposition of asset	Trigger + 2 years
CAS-0400	Inventory (equipment and furniture)	Disposition of asset	Trigger + 7 years
CAS-0500	Space Management	End of calendar year	3 years
CAS-0510	Space Management: Annual Space Reports		Permanent
CAS-0520	Space Management: COU Submission		Permanent
CAS-0530	Space Management: Committee	End of calendar year	10 years
CAS-0600	Sustainability or Energy Management Project	End of project	Trigger + 10 years
CAS-0700	Key / Access Control	Superseded or obsolete	Trigger
CAS-0800	Vehicles	Disposition of asset	Trigger + 2 years
CAS-1000	Health and Safety: Committee	End of year	7 years
CAS-1010	Health and Safety: Inspection Reports	End of year	2 years
CAS-1020	Health and Safety: Case Files	First exposure	40 years
CAS-1030	WSIB – Case Files	End of case and all appeals settled	15 years
CAS-1100	Health and Safety: Student Orientation	End of academic year	5 years
CAS-1300	Radiation Safety: Committee	End of year	7 years
CAS-1310	Radiation Safety: Licensing	Expiry or revocation of license	Trigger + 3 years
CAS-1320	Biosafety: Security Clearances	Termination of employment	Trigger + 7 years
CAS-1330	Radiation Safety: Internal Permits	Expiry or revocation of license	Trigger + 3 years

CAS-1340	Radiation Safety: Inspection and Servicing	Expiry or revocation of license	Trigger + 3 years
CAS-1350	Radiation Safety: Worker Registration and Training	End of employment under license	Trigger + 3 years
CAS-1360	Radiation Safety: Personal Dose Record	End of employment under license	Trigger + 3 years
CAS-1370	Radiation Safety: Site Security Plan	Plan is updated	Trigger + 10 years
CAS-1400	Biosafety: Committee	End of year	7 years
CAS-1410	Biosafety: Licensing	License expired or revoked	5 years
CAS-1420	Biosafety: Security Clearances	End of employment under licence	10 years
CAS-1430	Biosafety: University Biosafety Certificates	Expiry of permit	Trigger + 5 years
CAS-1440	Biosafety: Control of Pathogens	Expiry of Biosafety Certificate	Trigger + 5 years
CAS-1450	Biosafety: Inspections	End of year	5 years
CAS-1460	Biosafety: Incidents	Last action	10 years
CAS-1470	Biosafety: Personal Pathogen Exposure	First exposure	40 years
CAS-1500	Lab Safety: Disposition of Chemicals		

## CAS-0100 Campus Planning

<b>Scope Notes</b>	
Consists of records relating to the planning, design, and development of the University campus. Records may include copies of the Master and Secondary Plan, landscape planning documentation, land appraisals, space inventories, need analysis, proposals, plans and drawings.	
Excludes CAS-0110 Planning: Campus Master Plan	
<b>Retention Trigger</b>	Campus Master Plan superseded
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Significant drafts Appraisals Space inventories Analysis of needs
<b>Retention Rationale</b>	Operational need ends once revised Master Plan is in place. These documents may provide additional historical detail for renewing the master plan including why certain decisions were made and lessons learned.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-0110 Planning: Campus Master Plan

<b>Scope Notes</b>	
Consists of final approved Campus Master Plan and Secondary Plan and any required supporting documentation.	
Excludes CAS-0100 Campus Planning	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	Campus Master Plan Secondary Plan
<b>Retention Rationale</b>	Has significant value for future planning and as a historical document establishing UOIT's development.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Public

## CAS-0150 Major Projects

<b>Scope Notes</b>	
<p>Consists of project files for major multi-year projects including campus expansion, new buildings. These projects may not yet have funding. Includes communication with the University's senior administration, end-users and external consultants and contractors, planning and design, project initiation form, project charter, budget, and schedules.</p> <p>For building drawings and specifications arising from projects, see: CAS-210 Building Drawings and Specifications</p>	
<b>Retention Trigger</b>	End of project
<b>Retention</b>	Trigger + 10 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	External consultants, contractors
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Project documents Significant correspondence
<b>Retention Rationale</b>	Operational need lasts until project is completed. Afterward, documents may be used to aid in future project planning or to establish history of a space.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## CAS-0200 Capital Projects

<b>Scope Notes</b>	
Consists of project files for capital projects including the renovations of existing facilities, construction of new facilities, and infrastructure upgrades. Includes communication with the University's senior administration, end-users and external consultants and contractors, project initiation form, project charter, budget, and schedules.	
<b>Retention Trigger</b>	End of project
<b>Retention</b>	Trigger + 10 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	External consultants, contractors
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Project documents Significant correspondence
<b>Retention Rationale</b>	Operational need lasts until project is completed. Afterward, documents may be used to aid in future project planning or to establish history of a space.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-0210 Building Drawings and Specifications

<b>Scope Notes</b>	
Consists of as-built building drawings and specifications needed for long-term maintenance and repairs of facilities. Drawings and plans are developed for renovation and builds.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	Trigger + 10 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Drawings Plans Specifications
<b>Retention Rationale</b>	Needed for ongoing maintenance, upgrades and repairs. These needs exist as long as the building is in use to perform maintenance and repairs.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## CAS-0220 Building Permits

<b>Scope Notes</b>	
Consists of building permits and permit applications with supporting documentation such as building drawings.	
<b>Retention Trigger</b>	End of construction
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	External Consultants
<b>Records System</b>	Paper
<b>Citations</b>	Oshawa By-Law 33-2009 Building By-Law
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Central
<b>Retention Rationale</b>	These records must satisfy the requirements for a complete building permit under the Building By-Law, which describes the documentation necessary for a building permit application in Oshawa.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## CAS-0300 Maintenance and Repairs

<b>Scope Notes</b>	
Consists of records of routine maintenance including service requests, logs and inspections.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	End users
<b>Records System</b>	Heat Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Service Requests Logs Inspections
<b>Retention Rationale</b>	Several years of history will establish whether any ongoing problems exist.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## CAS-0310 Maintenance Specifications

<b>Scope Notes</b>	
Consists of drawings and specifications needed for maintenance and repair of facilities and equipment.	
Where drawings are also subject to the retention requirements of CAS-0210 Building Drawings and Specifications, those retention requirements apply.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	Trigger + 1 year
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Drawings Plans Specifications
<b>Retention Rationale</b>	Maintenance specs are no longer needed once a facility or equipment is no longer in use
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## CAS-0400 Inventory (equipment and furniture)

<b>Scope Notes</b>	
Consists of inventories of equipment and furniture assets owned by the University and where they are currently located.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Assets may have implications for tax filing, so records must be retained long enough for those purposes.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Operational Retention Period:</b>	
<b>Other Users:</b>	
<b>Protection</b>	Medium

## CAS-0500 Space Management

<b>Scope Notes</b>	
Consists of records related to the assignment of available university space. Includes space requests, evaluation of requests, and annual space inventory surveys each November.	
For results and analysis of space inventory survey see: CAS-0510 Space Management: Annual Reports	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	Requests come from Units
<b>Records System</b>	Archibus
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Evaluation of requests Space Inventory survey
<b>Retention Rationale</b>	Space requests are evaluated each year. 3 years of history will provide enough data to evaluate future requests and recognize trends. Space usage reports will be retained permanently as part of a separate records series.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-0510 Space Management: Annual Space Reports

<b>Scope Notes</b>	
Consists of annual space reports, derived from the results and analysis of the annual space inventory survey.	
<b>Retention Trigger</b>	-
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	Annual space reports
<b>Retention Rationale</b>	Space reports will provide an ongoing permanent record on UOIT's use and allocation of space to evaluate trends and forecast need.
<b>Personal Information</b>	No
<b>Other Users:</b>	
<b>Protection</b>	Low



## CAS-0520 Space Management: COU Submission

<b>Scope Notes</b>	
Consists of the Tri-Annual Inventory submission sent to the Council of Ontario Universities. Every three years, UOIT sends a snapshot of space usage to the COU.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	-
<b>Records System</b>	Electronic
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	Space/Renovation request form Evaluation of request Space Inventory survey Annual space reports
<b>Retention Rationale</b>	This submission includes the data from the CAS-0510 Annual Space Report, which is sent to COU once every three years.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Public

## CAS-0530 Space Management: Committee

<b>Scope Notes</b>	
Consists of meeting agendas, minutes, packages and supporting documentation for Space Management Committee meetings. Space Management Committee reviews all major space requests on an annual basis.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	To match with Capital Projects retention
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## CAS-0600 Sustainability/Energy Management Project

<b>Scope Notes</b>	
Consists of project files for sustainability or energy management project including project charter, progress reporting, significant correspondence, drawings and other related documentation.	
<b>Retention Trigger</b>	End of project
<b>Retention</b>	Trigger plus 10 years
<b>Responsible Unit(s)</b>	External consultants, contractors
<b>Source</b>	Hybrid
<b>Records System</b>	-
<b>Citations</b>	VP Human Resources and Services
<b>Record Authority</b>	Archival review
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Project documents Significant correspondence
<b>Retention Rationale</b>	Operational need lasts until project is completed. Afterward, documents may be used to aid in future project planning or to establish history of a space.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-0700 Access Control and keys

<b>Scope Notes</b>	
Consists of request forms submitted by UOIT units requesting keys or access control changes. OCIS liaises with Durham College to ensure access is granted.	
<b>Retention Trigger</b>	Until superseded or obsolete
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability Durham College Originating Unit
<b>Source</b>	Requests from units
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Request forms Requests passed to DC Log of all assigned keys (kept by DC)
<b>Retention Rationale</b>	Alignment with DC records series: FCL62 Key / Access Control. DC maintains a log/database of key sign-outs.
<b>Personal Information</b>	-
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-0800 Vehicles

<b>Scope Notes</b>	
Consists of records regarding UOIT's fleet of vehicles including purchase records, maintenance logs and any incidents vehicles are involved in.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	Trigger + 3 years
<b>Responsible Unit(s)</b>	Office of Campus Infrastructure and Sustainability
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Vehicle logs Purchase records Maintenance records
<b>Retention Rationale</b>	Needed to demonstrate ongoing maintenance and repair of vehicles in case the upkeep of vehicles is ever challenged as the cause of an accident. Matches the retention for CMP-1400 Incident and Accident Reports.
<b>Personal Information</b>	No
<b>Vital Record</b>	No

## CAS-0900 Lab Equipment: Purchase, Warranty & Repairs

<b>Scope Notes</b>	
Consists of records of capital purchases of lab equipment, warranty information and routine maintenance including service requests, logs and inspections.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Purchase orders/invoices warranties Service Requests Logs Inspections
<b>Retention Rationale</b>	Will allow planning for maintenance and future acquisitions.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## CAS-0910 Lab Consumables: Inventory and Distribution

<b>Scope Notes</b>	
Consists of records of lab consumables purchased in bulk and billed to internal clients. Includes invoices, records of client billing, records of inventory.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Faculty of Science
<b>Source</b>	
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Purchase orders/invoices warranties Service Requests Logs Inspections
<b>Retention Rationale</b>	Will allow planning for maintenance and future acquisitions.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-0950 Lab Safety: Disposal of waste chemicals

<b>Scope Notes</b>	
Consists of waste disposal manifests required for the transport and disposal of prescribed waste.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	
<b>Records System</b>	Hazardous Waste Information Network Paper
<b>Citations</b>	<i>General - Waste Management, RRO 1990, Reg 347 s. 19-26</i>
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Retention period for manifests specified in regulation.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## CAS-1000 Health and Safety: Committee

<b>Scope Notes</b>	
Consists of records relating to proceedings and actions of joint Health and Safety Committee. Records may include agenda packages, minutes, reports, working papers, presentations, related documentation and correspondence.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	Occupational Health and Safety Act, 1990
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	agenda packages minutes inspection reports working papers presentations related documentation correspondence
<b>Retention Rationale</b>	Alignment with DC & other institutions. Occupational Health and Safety Act requires this committee to be established. No retention period given in legislation.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Public

## CAS-1010 Health and Safety: Program

<b>Scope Notes</b>	
Consists of records relating to administration of health and safety and environmental programs and compliance with related legislation and standards. Also includes employee well-being programs. Records may include guidelines, monitoring and testing records, assessment reports, inspection reports and correspondence	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Health and Safety
<b>Source</b>	-
<b>Records System</b>	
<b>Citations</b>	Occupational Health and Safety Act, RSO 1990
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	guidelines monitoring and testing records assessment reports inspection reports correspondence
<b>Retention Rationale</b>	Alignment with DC retention schedule: HRS60 Health and Safety Programs Occupational Health and Safety Act, RSO 1990
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-1020 Health and Safety: Case Files

<b>Scope Notes</b>	
Consists of results of tests of employees to comply with health and safety legislation and standards. Includes personal and medical records submitted to ensure suitability for a job, or to document exposure to dangerous substances.	
<b>Retention Trigger</b>	Date of last test or exposure.
<b>Retention</b>	40 years
<b>Responsible Unit(s)</b>	Health and Safety
<b>Source</b>	
<b>Records System</b>	Hybrid
<b>Citations</b>	Designated Substances, O Reg 490/09 s. 30-31
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Alignment with DC retention schedule: HRS61 Health and Safety Programs – Case files
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## CAS-1030 Health and Safety: WSIB Case Files

<b>Scope Notes</b>	
Consists of records relating to accidents involving employees, short-term absences, long-term disability, accommodation and WSIB claims. Records may include assessment results, absence reports, accommodation forms, reports from physicians and other health professionals, consent to release information forms, accident reports, claims and correspondence.	
<b>Retention Trigger</b>	End of case and all appeals settled
<b>Retention</b>	15 years
<b>Responsible Unit(s)</b>	Health and Safety
<b>Source</b>	WSIB
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destrucion
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Alignment with DC retention schedule: HRS62 WSIB – Case files
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## CAS-1100 Health and Safety: Student Orientation

<b>Scope Notes</b>	
Students are provided health and safety orientation when they begin a work study program for the first time. A copy of the training certificate and completed health and safety checklist is retained for every student.	
<b>Retention Trigger</b>	End of year
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Health and Safety
<b>Source</b>	Student
<b>Records System</b>	Paper
<b>Citations</b>	O. Reg. 297/13: Occupational Health and Safety Awareness and Training S. 4
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Certificate Checklist
<b>Retention Rationale</b>	Orientation lasts about 3 years, only first time work study students are required to do training. May need to provide proof of training for up to 6 months after work is completed.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-1110 Health and Safety: Student Lab Training

<b>Scope Notes</b>	
Students are provided health and safety orientation when they begin working in a lab for the first time. Training may include biosafety, animal care, safety, WHMIS and others. A record of training is retained for every student.	
<b>Retention Trigger</b>	End of year
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Student
<b>Records System</b>	Paper
<b>Citations</b>	O. Reg. 297/13: Occupational Health and Safety Awareness and Training S. 4
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Certificate Checklist
<b>Retention Rationale</b>	Orientation must be updated to ensure training remains current. May need to provide proof of training for up to 6 months after work is completed.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CAS-1300 Radiation Safety: Committee

<b>Scope Notes</b>	
Consists of records relating to proceedings and actions of the Radiation Safety Committee, a specialist regulatory committee that considers applications for radioisotope permits, breaches of radiation safety, laboratory security and safety measures and other matters related to Radiation safety. Records may include agenda packages, minutes, inspection reports, permit applications and amendments, working papers, presentations, related documentation and correspondence.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Permit applicant
<b>Records System</b>	Paper/Hybrid
<b>Citations</b>	Radiation Safety Manual
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	<p>agenda packages minutes inspection reports incident reports presentations related documentation correspondence</p> <p>Permits considered by the RSC include:</p> <ul style="list-style-type: none"> <li>• Radioisotope permit application</li> <li>• X-ray permits</li> <li>• Laser</li> <li>• Radiography permits</li> <li>• Radioisotope Laboratory approval</li> <li>• Request for amendment to Radioisotope permit</li> <li>• Review of permanent x-ray location</li> <li>• Application to conduct industrial radiography</li> <li>• procurement of radiation emitting devices</li> </ul> <p>purchase requisition form for radioactive material</p>
<b>Retention Rationale</b>	Alignment with DC & other institutions.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## CAS-1310 Radiation Safety: Licensing

<b>Scope Notes</b>	
<p>The University holds a license to possess and use nuclear substances and radiation devices from the Canadian Nuclear Safety Commission (CNSC). This records series include records required to obtain a license and prescribed information under the Act and Regulations:</p> <ul style="list-style-type: none"> <li>Records of all information submitted to the CNSC related to the license including license application, annual reports, other required reports, inventory and description of nuclear substances.</li> <li>Records of any transfer, receipt disposal or abandonment of a nuclear substance.</li> <li>Requests to purchase or otherwise obtain radioactive material</li> </ul>	
<b>Retention Trigger</b>	Expiry or revocation of the license
<b>Retention</b>	Trigger + 3 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	CNSC
<b>Records System</b>	Paper
<b>Citations</b>	Nuclear Safety and Control Act, section 27 SOR/2000-207: Nuclear Substances and Radiation Devices Regulations, Section 36
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	<p>A record of all information related to the license that is submitted to CNSC</p> <p>A record of the name and job category of each nuclear energy worker</p> <p>A record of the external and internal radiation doses of each nuclear energy worker</p> <p>License application</p> <p>Completed license, amendments</p> <p>Annual reports</p> <p>Employee training</p> <p>CNSC Inspections</p> <p>Records re: purchase, transfer, disposal of sealed source nuclear substances</p> <p>Servicing of radiation devices</p> <p>Inventory of radioactive material and prescribed substances</p> <p>Purchase requisition for radioactive material</p>
<b>Retention Rationale</b>	Based on retention requirements in Act and Regulation. CNSC must be advised at least 90 days in advance of the disposal of any records related to the license.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High



## CAS-1320 Radiation Safety: Security Clearances

<b>Scope Notes</b>	
As a condition of licence, the Radiation Safety Committee will require a criminal records check and trustworthiness review for a subset of workers and students beginning in 2018.	
<b>Retention Trigger</b>	Termination of employment
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Research Services: trustworthiness review Campus Security: Criminal records check
<b>Source</b>	Faculty requesting permits, Biosafety Officer
<b>Records System</b>	Paper
<b>Citations</b>	Condition of License (beginning 2018)
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Security Clearance application Response Correspondence related to applications.
<b>Retention Rationale</b>	Align with retention of other employment documentation.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## CAS-1330 Radiation Safety: Internal Permits

<b>Scope Notes</b>	
<p>Internal permits are required for any activities involving radioactive substances or devices. These permits are issued by the Radiation Safety Committee. This records series covers applications, permits and amendments and supporting documentation for Radioisotope permits, X-ray permits, Radiography permits, Laser operating permits, Laboratory approval and procurement of radiation emitting devices.</p> <p>Does not include records of registration and training of individual workers: See CAMP-0430 Worker Registration and Training.</p> <p>Excludes: CAS-1360 Personal dose record.</p>	
<b>Retention Trigger</b>	Expiry of permit
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Permit applicants, Radiation Safety Committee
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	<p>Applications                      Completed permits                      Amendments                      Supporting documentation                      Correspondence                      Permits include:</p> <ul style="list-style-type: none"> <li>• Radioisotope permit application</li> <li>• X-ray permits</li> <li>• Laser Registration form</li> <li>• Laser hazard assessment</li> <li>• Laser operating permits</li> <li>• Radiography permits</li> <li>• Radioisotope Laboratory approval</li> <li>• Request for amendment to Radioisotope permit</li> <li>• Review of permanent x-ray location</li> <li>• Application to conduct industrial radiography</li> <li>• procurement of radiation emitting devices</li> <li>• purchase requisition form for radioactive material</li> </ul>
<b>Retention Rationale</b>	Matches 5 year audit window of CNSC.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	

## CAS-1340 Radiation Safety: Inspection and Servicing

<b>Scope Notes</b>	
The University holds a license to possess and use nuclear substances and radiation devices from the Canadian Nuclear Safety Commission (CNSC). This records series includes records of every inspection, measurement, test or servicing of a nuclear substance.	
Excludes: CAS-1360 Personal dose record, CAS-1330 Internal Permits	
<b>Retention Trigger</b>	Expiry or revocation of the license
<b>Retention</b>	Trigger + 3 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	CNSC
<b>Records System</b>	Paper
<b>Citations</b>	Nuclear Safety and Control Act SOR/2000-207: Nuclear Substances and Radiation Devices Regulations S.36
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Records re: any Inspection, measurement, test or servicing Servicing of radiation devices
<b>Retention Rationale</b>	Based on retention requirements in Act and Regulation. CNSC must be advised at least 90 days in advance of the disposal of any records related to the license.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## CAS-1350 Radiation Safety: Worker Registration and Training

<b>Scope Notes</b>	
The University holds a license to possess and use nuclear substances and radiation devices from the Canadian Nuclear Safety Commission (CNSC). As a condition of the license, a record must be maintained of the name and job category of each worker and the training they have received. This records series includes: records of training of workers under the license, records of employees and students permitted to work with nuclear substances and radiation devices.	
Excludes: CAS-1360 Personal dose record, CAS-1330 Internal Permits	
<b>Retention Trigger</b>	Termination of employment under license
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	UOIT Radiation Safety Manual s.6.1 Nuclear Safety and Control Act SOR/2000-207: Nuclear Substances and Radiation Devices Regulations Radiation Protection Regulations, S.24
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	A record of the name and job category of each nuclear energy worker Employee training Nuclear energy worker designation form Nuclear energy worker declaration
<b>Retention Rationale</b>	Based on retention requirements in Act and Regulation. CNSC must be advised at least 90 days in advance of the disposal of any records related to the license. Radiation Safety Manual requires training records to be retained at least 5 years after employment.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## CAS-1360 Radiation Safety: Personal dose record

<b>Scope Notes</b>	
These records are comprised of reports of radiation exposure testing for individuals working with nuclear substances or radiation devices. Also includes communication to inform individuals of results of testing.	
Excludes CAM-01350 Worker Registration and Training.	
<b>Retention Trigger</b>	Termination of employment
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Health Canada testing service
<b>Records System</b>	Paper Email (correspondence to inform employees of results)
<b>Citations</b>	SOR/2000-203: Radiation Protection Regulations, s. 8 O. Reg. 861: Radiation Safety, s. 12
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Reports of radiation doses Email correspondence informing employees of results
<b>Retention Rationale</b>	Based on 5 year audit requirement for nuclear safety, requirement of workers to provide up to five years of exposure records.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## CAS-1370 Radiation Safety: Site Security Plan

<b>Scope Notes</b>	
Under the General Nuclear Safety and Control Regulations, UOIT is required to create and maintain a site security plan. The nuclear site security plan is prescribed under the regulations. The plan is highly confidential and not for distribution by email.	
<b>Retention Trigger</b>	Plan is updated
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	<i>General Nuclear Safety and Control Regulations (SOR/2000-202) s21-23</i>
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Nuclear security plan
<b>Retention Rationale</b>	Plan is to be reviewed on an annual basis. The most current version of the plan must be retained until it is updated. CNSC must be advised at least 90 days in advance of the disposal of any records related to the license.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High Sensitivity  Highly confidential. No electronic storage or transfer (no email). Any modifications must be viewed and approved on paper.

## CAS-1380 Radiation Safety: Incidents

<b>Scope Notes</b>	
Records resulting from an incident that results in a failure or compromise of containment of Radioactive materials.	
<b>Retention Trigger</b>	Expiry or revocation of license
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	<i>Human Pathogens and Toxins Regulation, SOR 2015-44 s. 29</i>
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Incident reports Inspection reports Record of work to repair the compromise
<b>Retention Rationale</b>	Based on retention requirements in act and Regulation.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## CAS-1400 Biosafety: Committee

<b>Scope Notes</b>	
Consists of records relating to proceedings and actions of the Biosafety Committee, a specialist regulatory committee that considers applications for: radioisotope permits, breaches of radiation safety, laboratory security and safety measures and other matters related to Biosafety.	
Records may include agenda packages, minutes, inspection reports, permit applications and amendments, working papers, presentations, related documentation and correspondence.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	agenda packages minutes inspection reports working papers presentations related documentation correspondence
<b>Retention Rationale</b>	Alignment with DC & other institutions.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	



## CAS-1410 Biosafety: Licensing

<b>Scope Notes</b>	
The federal government mandates security clearances for individuals permitted to work with a prescribed list of toxins under the Human Pathogens and Toxin Regulations	
<b>Retention Trigger</b>	Expiry or revocation of license
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	<i>Human Pathogens and Toxins Regulation</i> , SOR 2015-44 s. 29
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	License application Response Correspondence related to applications. Risk management plan
<b>Retention Rationale</b>	If the material is a prescribed toxin under the Human Pathogens and Toxin Regulations, ensure that the Certificates are retained for the duration of the HPT regulation document retention period (5 years)
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	

## CAS-1420 Biosafety: Security Clearances

<b>Scope Notes</b>	
The federal government mandates security clearances for individuals permitted to work with a prescribed list of toxins under the Human Pathogens and Toxin Regulations	
<b>Retention Trigger</b>	End of employment
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Research Services Campus Security
<b>Source</b>	Faculty requesting permits, Biosafety Officer
<b>Records System</b>	Paper
<b>Citations</b>	<i>Human Pathogens and Toxins Regulation</i> , SOR 2015-44 s. 29
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Security Clearance application Response Correspondence related to applications.
<b>Retention Rationale</b>	If the material is a prescribed toxin under the Human Pathogens and Toxin Regulations, ensure that the Certificates are retained for the duration of the HPT regulation document retention period (5 years)
<b>Personal Information</b>	Yes - New PIB
<b>Vital Record</b>	
<b>Protection</b>	

## CAS-1430 Biosafety: University Biosafety Certificates

<b>Scope Notes</b>	
Internal permits are required for any activities involving infectious biological agents. These permits are issued by the Biosafety Committee. This records series covers applications, permits and amendments, risk assessment, safety and security controls that will be considered when obtaining University Biosafety Certificates.	
<b>Retention Trigger</b>	Expiry of permit
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Research Services Campus Security
<b>Source</b>	Faculty requesting permits, Biosafety Officer
<b>Records System</b>	Paper
<b>Citations</b>	<i>Human Pathogens and Toxins Regulation</i> , SOR 2015-44 s. 29
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Biosafety certificate applications Risk assessments Safety and security controls Certificate of biological safety cabinet
<b>Retention Rationale</b>	If the material is a prescribed toxin under the Human Pathogens and Toxin Regulations, ensure that the Certificates are retained for the duration of the HPT regulation document retention period (5 years)
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	
<b>Protection</b>	

## CAS-1440 Biosafety: Control of pathogens

<b>Scope Notes</b>	
This record series includes the records required to be kept under a Biosafety Certificate, including authorization to acquire bio hazardous material and an Inventory of all agents in possession as well as records of training provided to workers.	
<b>Retention Trigger</b>	Expiry of Biosafety Certificate
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Researchers with Biosafety Certificates
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	<i>Human Pathogens and Toxins Regulation</i> , SOR 2015-44 s. 29 Canadian Food Inspection Agency Canadian Biosafety Standards and Guidelines
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	authorization to acquire Bio hazardous Material Inventory of all agents in possession.
<b>Retention Rationale</b>	Inventory should be kept up to date. Historical inventories relevant for audit purposes. Based on 5 year audit cycle. If the material is a prescribed toxin under the Human Pathogens and Toxin Regulations, ensure that the Certificates are retained for the duration of the HPT regulation document retention period (5 years).
<b>Personal Information</b>	
<b>Vital Record</b>	
<b>Protection</b>	

## CAS-1450 Biosafety: Inspections

<b>Scope Notes</b>	
Records of regular inspections of all biohazard laboratories to verify that the conditions of the Biosafety Certificate continue to be met. Also includes responses to inspection reports and plans from researchers.	
<b>Retention Trigger</b>	
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Based on 5 year audit cycle.
<b>Personal Information</b>	No
<b>Vital Record</b>	
<b>Protection:</b>	

## CAS-1460 Biosafety: Incidents

<b>Scope Notes</b>	
Records resulting from an incident that results in a failure or compromise of containment of toxic materials.	
<b>Retention Trigger</b>	File closed
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	Hybrid
<b>Citations</b>	<i>Human Pathogens and Toxins Regulation, SOR 2015-44 s. 29</i>
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Incident reports Inspection reports Record of work to repair the compromise
<b>Retention Rationale</b>	If the material is a prescribed toxin under the Human Pathogens and Toxin Regulations, ensure that the Certificates are retained for the duration of the HPT regulation document retention period for incidents (10 years)
<b>Personal Information</b>	No
<b>Vital Record</b>	
<b>Protection</b>	

## CAS-1470 Biosafety: Personal pathogen exposure

<b>Scope Notes</b>	
Documentation regarding any accidental exposure to pathogens. Incidents must be documented and individuals involved monitored for possible infection.	
<b>Retention Trigger</b>	
<b>Retention</b>	40 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	<i>Human Pathogens and Toxins Regulation</i> , SOR 2015-44 s. 29
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Alignment with DC retention schedule for HRS61 Health and Safety Case Files – exposure records.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	
<b>Protection</b>	





## Compliance, Legal and Risk Management

Consists of records related to compliance including access to information and privacy, records management and mandated government reporting, legal matters including legal advice, litigation and claims and risk management.

Code	Record Series Name	Trigger	Retention Period
CMP-0100	Legal: Litigation, Claims or Complaints	File closed	Trigger + 7 years
CMP-0110	Legal: Core elements		Permanent
CMP-0200	Legal: Opinions and Advice	File closed	7 years
CMP-0300	Legal: Contracts and Agreements	End of agreement and all survival clauses	Trigger + 7
CMP-0310	Legal: Material Contracts and Agreements	End of agreement and all survival clauses	Permanent
CMP-0320	Legal: Contracts Tracking and Development	Disposition of contract	Trigger
CMP-0700	Compliance: MTCU Reporting	Audited	7 years
CMP-0800	Records Lists and File Plans	File plan modified	Trigger + 3 years
CMP-0810	Records Disposition		Permanent
CMP-0900	Access to Information and Privacy: Case files	Appeal period and judicial review period expired	5 years
CMP-0910	Access to Information and Privacy: Tracking and Reporting	End of calendar year	6 years
CMP-0920	Access to Information and Privacy: Training	Superseded	2 years
CMP-1100	Risk Management Plan	End of calendar year	7 years
CMP-1200	Insurance: Policies		Permanent
CMP-1210	Insurance: Claims	Claim settled	3 years
CMP-1220	Insurance: Student	Student graduates	2 years
CMP-1300	Risk Management: Events	End of academic year	2 years
CMP-1400	Risk Management: Incidents and Accidents	Last action	3 years
CMP-1500	Risk Management: Summary Reports	End of fiscal year	10 years

## CMP-0100 Legal: Litigation, claims or complaints

<b>Scope Notes</b>	
Consists of all material related to a claim or complaint that may result in litigation. May include responsive records, legal holds, correspondence, case files, investigation files and decisions, subpoenas and notices to appear and other court documents.	
For core elements of these matters, see: CMP-0110 Legal: Core elements	
<b>Retention Trigger</b>	File closed
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Legal Holds Responsive records Correspondence Case files Investigations Decisions
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	High

## CMP-0110 Legal: Core elements

<b>Scope Notes</b>	
Consists of core elements of legal proceedings, settlements or matters heard before an administrative tribunal or regulatory agency. Includes court documents or minutes of settlements.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	General Counsel
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Claim, defense and rulings
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	High

## CMP-0200 Legal: Opinions and Advice

<b>Scope Notes</b>	
Consists of legal advice and opinions related to a matter other than a specific contract, litigation, claim or complaint.	
For advice related to a legal proceeding, see: CMP-0100 Legal Proceedings	
For advice related to a specific contract, see: CMP-0320 Contracts Tracking and Development	
<b>Retention Trigger</b>	File closed
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Email Paper Legal Suite
<b>Citations</b>	-
<b>Record Authority</b>	General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Requests for advice Research Correspondence Responses
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes
<b>Vital Record</b>	
<b>Protection</b>	High

## CMP-0300 Legal: Contracts and Agreements

<b>Scope Notes</b>	
<p>Consists of agreements and contracts entered into by UOIT and all schedules, appendices or amendments necessary to interpret them. Also includes records used to track contract and clause end dates.</p> <p>For materials related to the development of contracts, see: CMP-0320 Agreement Development and Negotiations.</p> <p>Some Contracts and Agreements deemed material by the General Counsel need longer retention. See CMP-0310 Material Contracts and Agreements</p>	
<b>Retention Trigger</b>	End of agreement and all survival clauses
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Contracts and agreements Schedules Appendices Amendments All supporting documentation necessary to interpret them
<b>Retention Rationale</b>	Contracts with financial obligations may be required for income tax purposes for up to 7 years after they end.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium sensitivity

## CMP-0310 Legal: Material Contracts and Agreements

<b>Scope Notes</b>	
Consists of contracts and agreements determined by the General Counsel to be material or significant and require long-term retention. The determination may be made based on the value, risk or complexity of the agreement.	
Also includes records used to track contract and clause end dates.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	General Counsel
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Agreements Appendices and schedules to agreements Debenture Agreements Property leases, Debenture and related agreements, Banking agreements Service Level Agreement Operating Agreement with SA
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium sensitivity

## CMP-0320 Legal: Agreement Development and Negotiations

<b>Scope Notes</b>	
Consists of supporting materials to contract development including significant drafts, redlines, correspondence, privacy impact assessments.	
<b>Retention Trigger</b>	End of agreement
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Legal Suite
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Likelihood of a dispute drops after the end of the agreement.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CMP-0700 Compliance: MTCU Reporting

<b>Scope Notes</b>	
Consists of signed submissions to the provincial or federal government, including statistical reports. These submissions have been signed by the University President.	
Excludes TEA-0100 Submitted data	
<b>Retention Trigger</b>	Audited by Ministry
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	Units, University Secretariat
<b>Records System</b>	Paper, electronic
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Signed representation Statistical reporting PPFIS/USER – Term Enrolment (Data & signed form) PPFIS/USER – Term Min/Max Claim (Data & signed form) PPFIS/USER – Degrees Awarded (Data & signed form) MYAA (Multi Year Accountability Agreement) Tuition Fee Compliance Tuition and Living Accommodation Survey Ministry Documentation (PTOT, FTOT, etc.) Broader Public Service compensation (Sunshine List)
<b>Retention Rationale</b>	The signed forms document UOIT's representation at the time of the report. Any irregularities should be discovered during a ministry audit, which is conducted on an annual basis.  The data from which the report is generated retains value for future planning and demonstrating UOIT's progress over time, and evaluating the success of initiatives. It must be captured in a separate records series for long-term retention.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Public



## CMP-0800 Record Lists and File Plans

<b>Scope Notes</b>	
Consists of records that track and organize university records in a given unit. These may include spreadsheets or databases to track records and retention periods, file plans listing the contents of file cabinets.	
<b>Retention Trigger</b>	File plan modified
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	Various
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	File plans Tracking sheets
<b>Retention Rationale</b>	Once a file plan has been modified, older file plans have no further value except as a reference to creating further modifications
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CMP-0810 Record Disposition

<b>Scope Notes</b>	
Consists of records of disposition actions taken on University Records. Disposition actions include destruction, deletion or transfer to archives or a third party. Includes disposition eligibility report, list of records involved, authorization for disposition and certificate of destruction or transfer.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	Units
<b>Records System</b>	Electronic
<b>Citations</b>	Freedom of Information and Protection of Privacy Act - R.R.O. 1990, Reg. 459, s. 6(1) UOIT Records Management Policy
<b>Record Authority</b>	University Secretary
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	Disposition eligibility report Records list Disposition authorization Certificate of destruction Receipt for transfer of records
<b>Retention Rationale</b>	Under the records management policy, a permanent record of disposition actions for records must be retained. Retention based on the requirements of the Freedom of Information and Protection of Privacy Act - R.R.O. 1990, Reg. 459, s. 6(1) which states "Every head of an institution shall ensure that the institution maintains a disposal record setting out what personal information has been destroyed or transferred to the Archives and the date of that destruction or transfer."
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CMP-0900 Access to Information and Privacy: Case files

<b>Scope Notes</b>	
Consists of records relating to access to information requests or privacy breaches under FIPPA or PHIPA. Includes access requests, correspondence with requester, internal communications related to the request, communications with Ontario Privacy Commissioner and responsive records.	
<b>Retention Trigger</b>	Appeal period and judicial review period have expired
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	External
<b>Records System</b>	Email Shared drive
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Access request Correspondence with requester Internal correspondence Responsive records Responsive records (Severed)
<b>Retention Rationale</b>	Based on Archives of Ontario Retention Schedule.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## CMP-0910 Access to Information and Privacy: Tracking and Reporting

<b>Scope Notes</b>	
Consists of records relating to compliance with privacy legislation. Includes annual tracking sheets for access requests, reports and correspondence with the office of the Privacy Commissioner not related to a specific request.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	6 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Email Shared drive
<b>Citations</b>	
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Tracking sheets Correspondence with privacy Commissioner
<b>Retention Rationale</b>	Based on Archives of Ontario Retention Schedule.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## CMP-0920 Access to Information and Privacy: Training

<b>Scope Notes</b>	
Consists of records relating to access to information and privacy training for university offices, faculties and services. Includes presentations, handouts, and other training materials.	
<b>Retention Trigger</b>	Superseded
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	
<b>Records System</b>	Shared drive
<b>Citations</b>	
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Presentations Email
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## CMP-1100 Risk Management Plan

<b>Scope Notes</b>	
Consists of the University's Risk Management Plan, which is updated annually.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	Units
<b>Records System</b>	
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	
<b>Protection</b>	Medium

## CMP-1200 Insurance: Policies

<b>Scope Notes</b>	
Consists of executed agreements certificates of insurance and insurance policies and all supporting documentation required to understand the level of coverage provided.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	Policies and supporting documents.
<b>Retention Rationale</b>	Claims may be made under the policy that existed at the time. Retaining old policies allows UOIT to demonstrate continuous insurance/insurability.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CMP-1210 Insurance: Claims (Simple)

<b>Scope Notes</b>	
Consists of records of simple insurance claims made under an existing policy that do not result in litigation. Includes claim forms, incident reports, investigation files, other documentation to support the claim and correspondence related to the claim.	
Excludes CMP-1500 Risk Management: Summary Reports	
<b>Retention Trigger</b>	Claim decided or otherwise settled
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	Units
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Claims, settled claims, security reports, student records, accident reports, claims documentation and correspondence
<b>Retention Rationale</b>	Resolved claims with no possibility of litigation have no need for retention. Trends will be captured in summary reports.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	
<b>Protection</b>	High



## CMP-1220 Insurance: Student

<b>Scope Notes</b>	
Consists of representations submitted by students to secure workplace insurance for work study placements.	
<b>Retention Trigger</b>	Student graduates
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Completed waivers and consent forms
<b>Retention Rationale</b>	No further operational need after graduation and limitation period.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## CMP-1300 Risk Management: Events

<b>Scope Notes</b>	
Consists of event forms submitted by students and staff and supporting documentation including copies of contracts.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	Students and Staff
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Event forms Contracts
<b>Retention Rationale</b>	Claims or incidents arising from an event must be brought within 2 years. 3 year retention allows for a buffer.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CMP-1400 Risk Management: Incidents and Accidents

<b>Scope Notes</b>	
Consists of reports of incidents and accidents involving bodily harm or damage to UOIT facilities or property. Includes incident reports, correspondence, investigation files or supporting documentation related to an incident.	
If incidents or accidents become part of a claim or legal action, information will be transferred to CMP-1210 Insurance: Claims or CMP-0100 Legal Proceedings for retention.	
<b>Retention Trigger</b>	Last action
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	Units
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Incident reports, correspondence, investigation files or supporting documentation related to an incident
<b>Retention Rationale</b>	Claims or incidents arising from these reports must be brought within 2 years. 3 year retention allows for a buffer.
<b>Personal Information</b>	Yes – U11 Incident Reports
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## CMP-1500 Risk Management: Summary reports

<b>Scope Notes</b>	
Consists of reports summarizing annual incidents and accidents, claims, events and other statistical reporting on the risk management program.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Provides data for forecasting and evaluating trends.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	
<b>Protection</b>	Medium

## Finance

Consists of records relating to the management of the University's finances including accounting, audits, banking, budgets, procurement, financial reporting and taxes.

Code	Record Series Name	Trigger	Retention Period
FIN-0100	Accounting: System	End of fiscal year	General Ledger: Permanent
FIN-0110	Accounting: General	End of fiscal year	7 years
FIN-0120	Research Grants	End of project and terms of grant satisfied	Trigger + 7 years
FIN-0200	Accounts Payable	End of fiscal year	7 years
FIN-0210	Purchasing Cards	End of fiscal year	7 years
FIN-0300	Procurement	End of fiscal year	7 years
FIN-0400	Reports	End of fiscal year	7 years
FIN-0500	University Budget		Permanent
FIN-0510	Budget Committee	End of fiscal year	7 years
FIN-0520	Unit Budget	End of fiscal year	7 years
FIN-0600	Treasury	End of fiscal year	7 years
FIN-0700	Authorization: Signing Authority	Superseded	Trigger + 7 years
FIN-0710	Authorization: Credit Card	End of fiscal year	Trigger + 7 years
FIN-0800	Audit	End of fiscal year	7 years
FIN-0900	Student Accounts	Account settled	Trigger + 7 years
FIN-1100	Payroll	End of fiscal year	7 years
FIN-1200	Taxes	End of fiscal year	7 years

## FIN-0100 Accounting: System

<b>Scope Notes</b>	
Consists of entries in the Financial Management module of Banner. Includes records of financial transactions: general ledger and sub ledger accounts for purchasing and receiving.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	Units
<b>Records System</b>	Banner
<b>Citations</b>	Income Tax Act, 1985, s. 230(4); Income Tax Regulations, 5800 (1)(a)(4); Policies of various research funding bodies
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	Journal Vouchers - Dept (UOIT only) Fixed Asset/Inventory Detail Records Monthly Bank Reconciliations
<b>Retention Rationale</b>	Banner accounting system maintains a history of all transactions, purchase orders dating back into the 90s. While there will not be paper backup, the transaction data is maintained in the system.
<b>Personal Information</b>	-
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## FIN-0110 Accounting: General

<b>Scope Notes</b>	
Consists of supporting documentation to transactions recorded in the Accounting System. Including journal vouchers, and fund/org supporting documentation, monthly reconciliations and copies of checks. Units input transaction data into Banner and send their supporting documentation to Finance for processing.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	Units
<b>Records System</b>	Paper Banner Document Management (future)
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Journal Vouchers Fund/org supporting documentation Bank Reconciliations Copies of checks
<b>Retention Rationale</b>	Income Tax Act requires that books and records be kept until the expiration of six years from the end of the last taxation year. Required for audit purposes.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## FIN-0120 Research Grants

<b>Scope Notes</b>	
Consists of records supporting research funded by a grant. Includes notice of award of grant, signing authority, funded research notification, and includes records required to comply with grant terms including financial and progress reports.	
Excludes: FIN-0200 Accounts Payable records related to a research grant	
<b>Retention Trigger</b>	Completion of work under grant
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	Primary Investigator
<b>Records System</b>	Banner, BDM, Romeo
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b) Agreement on the Administration of Agency Grants and Awards by Research Institutions 3.3
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Signing Authority FreN Notice of Award Budget information Transfer of Agreement to Other Institutions Signed financial reports Records of Invoices sent out to Sponsors Copies of Proposals Fund/Org Supporting Docs
<b>Retention Rationale</b>	Records required under terms of Agreement on the Administration of Agency Grants and Awards by Research Institutions. Alignment with the practices of other institutions.
<b>Personal Information</b>	No
<b>Vital Record</b>	
<b>Protection</b>	



## FIN-0200 Accounts Payable

<b>Scope Notes</b>	
Consists of records supporting accounts payable including invoices and supporting documents, travel requests, expense reports, purchase orders and journal vouchers. Units input transaction data into Banner and send their supporting documentation to Finance for processing.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	Units
<b>Records System</b>	
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Journal Vouchers – User Invoices & Supporting Docs Request to Travel Travel Advances Purchase Order (where not part of a formal procurement process) Cheque Requisition
<b>Retention Rationale</b>	Meet the requirements of the limitation period for keeping records established in the Income Tax Act.
<b>Personal Information</b>	
<b>Vital Record</b>	
<b>Protection</b>	

## FIN-0210 Purchasing Cards

<b>Scope Notes</b>	
Consists of records supporting payments made with purchasing cards including invoices and supporting documents, reconciliations, travel requests, expense reports, purchase orders and journal vouchers.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Originating Unit (cardholder)
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b) Procurement of Goods and Services - Procedures
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Journal Vouchers - User Invoices & Supporting Docs Request to Travel Travel Advances Purchase Order
<b>Retention Rationale</b>	Meet the requirements of the limitation period for keeping records established in the Income Tax Act.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## FIN-0300 Procurement

<b>Scope Notes</b>	
Consists of records relating to acquisition of goods and services including bid and competitive selection processes. Records may include specifications, requests for proposals (RFP), requests for tender (RFT) or requests for quotes (RFQ), vendor proposals and bids, bid tabulation sheets and records of all bids received (successful and unsuccessful), department requisition forms, purchase orders, contracts and leases, related documentation and correspondence.	
Shared Service. Durham College Record Series: FIN40 Procurement	
<b>Retention Trigger</b>	Bid awarded
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Procurement Originating Unit (where procurement office not involved)
<b>Source</b>	
<b>Records System</b>	Paper Electronic (USB) Fast
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b) <i>Broader Public Sector Procurement Directive</i> , s. 7.2.23 Procurement of Goods and Services – Procedures
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	specifications, requests for proposals (RFP), requests for tender (RFT) or requests for quotes (RFQ), vendor proposals and bids, bid tabulation sheets and records of all bids received (successful and unsuccessful), department requisition forms, purchase orders, contracts and leases, related documentation and correspondence
<b>Retention Rationale</b>	For reporting and auditing purposes, all procurement documentation, as well as any other pertinent information must be retained in a recoverable form for a minimum period of seven years as required by the Ministry of Finance.
<b>Personal Information</b>	No
<b>Vital Record</b>	
<b>Protection</b>	Medium sensitivity

## FIN-0400 Reports

<b>Scope Notes</b>	
Consists of financial reports other than the annual audited financial statements. Including investment reports, year-end reports and supporting documents and statistics.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Investment Reports Operating Investments Generic Financial Reports Financial Statements Misc Year End Reports Year End Report Supporting Docs Statistics Canada Reports
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## FIN-0500 University Budget

<b>Scope Notes</b>	
Consists of approved University budget.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the Provost
<b>Source</b>	Units
<b>Records System</b>	
<b>Citations</b>	<i>Income Tax Act, R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)</i>
<b>Record Authority</b>	Provost
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Annual budget
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## FIN-0510 Budget Committee

<b>Scope Notes</b>	
Consists of records relating to the development and control of the University's annual budget and Unit budgets. Includes unit submissions for inclusion in the budget, final budget and supporting documents.	
<b>Retention Trigger</b>	Budget approved
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of the Provost
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Annual budget
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## FIN-0600 Treasury

<b>Scope Notes</b>	
Consists of records related to cash and investment management including reports of investments, outstanding check register, wire transfers and void checks.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	-
<b>Records System</b>	
<b>Citations</b>	<i>Income Tax Act, R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)</i>
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Automated Clearing House Wire Transfers Void Checks Outstanding Check Register Chase Merchant Services Rpt
<b>Retention Rationale</b>	Meet the requirements of the limitation period for keeping records established in the Income Tax Act.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## FIN-0700 Authorization: Signing Authority

<b>Scope Notes</b>	
Consists of records of signing authority for bank accounts and checks for the University. Also includes delegation of authority when applicable.	
<b>Retention Trigger</b>	Modified or replaced
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	Units
<b>Records System</b>	Paper
<b>Citations</b>	UOIT Signing Authority Registry and Approval Procedures
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Signing Authority Form Delegation of Authority Form
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## FIN-0710 Authorization: Credit Card

<b>Scope Notes</b>	
Consists of records surrounding the issue and use of credit cards by University employees. Including request forms, change forms and other supporting documents.	
<b>Retention Trigger</b>	While credit card is active
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	Units
<b>Records System</b>	Paper
<b>Citations</b>	<i>Income Tax Act, R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)</i>
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	C-Card Supporting Documents C-Card Request Form C-Card Change Request Form
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## FIN-0800 Audit

<b>Scope Notes</b>	
Consists of records of internal and external audits. Includes copies of working papers provided to auditors, completed audit reports, management letters, audited financial statements and institution responses.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Audit Reports Management Letters Audited Financial Statements Institution responses
<b>Retention Rationale</b>	Audited financial statements will be captured within the audit and finance board of governors committee for permanent retention.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	

## FIN-0900 Student Accounts

<b>Scope Notes</b>	
Consists of records of student accounts history and payments.	
<b>Retention Trigger</b>	Account settled
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	-
<b>Records System</b>	Banner
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Meet the requirements of the limitation period for keeping records established in the Income Tax Act.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium sensitivity

## FIN-1100 Payroll

<b>Scope Notes</b>	
Consists of records relating to pay for individual employees. Includes pay stubs, T4As, employee banking information, forms requesting changes to employee pay.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	Units
<b>Records System</b>	
<b>Citations</b>	<i>Income Tax Act, R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)</i>
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction/secure deletion
<b>Records Arising from Activity</b>	Pay stubs T4As Direct deposit forms Change forms
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium sensitivity

## FIN-1200 Taxes

<b>Scope Notes</b>	
Consists of records relating to the payment and administration of taxes and government remittances.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Finance
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	Chief Financial Officer
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Federal and provincial tax forms HST remittances
<b>Retention Rationale</b>	Meet the requirements of the limitation period for keeping records established in the Income Tax Act.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## Governance

Consists of records related to University policy and the bicameral governance of the University including meeting minutes and elections of the Board of Governors and Committees, Academic Council and Committees, Faculty Councils and PACIP.

Code	Record Series Name	Trigger	Retention Period
GOV-0100	Policy: Development and Review	Policy document modified or rendered obsolete	Trigger + 3
GOV-0110	Policy: Local Policy		Permanent
GOV-0120	Policy: University-wide		Permanent
GOV-0200	Board of Governors: Minute Book		Permanent
GOV-0200	Board of Governors: Meetings	End of academic year	20 years
GOV-0210	Board of Governors: Elections and Membership	End of academic year	7 years
GOV-0220	Board of Governors: Member Profiles	End of academic year	20 years
GOV-0300	Governance: Academic Council (Meetings)	End of academic year	20 years
GOV-0310	Governance: Academic Council (Elections)	End of academic year	7 years
GOV-0320	Board of Governors: Member Profiles	End of academic year	20 years
GOV-0400	Faculty Council	End of academic year	20 years
GOV-0410	Faculty Council (Elections)	End of academic year	7 years
GOV-0500	Provost's Advisory Committee on Integrated Planning	End of academic year	20 years
GOV-0600	Administrative Committees	End of year (fiscal, calendar or academic as applicable)	7 years

## GOV-0100 Policy Instruments: Development and Review

<b>Scope Notes</b>	
Consists of records relating to the development of local and university-wide Policy Instruments as defined in the Policy Framework. Includes significant drafts, presentations, collected materials, consultations and completed policy instrument review templates.	
For final approved versions of Policy Instruments, see: GOV-0110 Policy Instruments: University-wide and GOV-0120 Policy Instruments: Local	
<b>Retention Trigger</b>	Next formal policy review complete
<b>Retention</b>	Trigger + 3
<b>Responsible Unit(s)</b>	Policy Lead (University-wide policy instruments) Office of the University Secretary and General Counsel (University-wide policy instruments) Originating Unit (Local policy instruments)
<b>Source</b>	Units
<b>Records System</b>	Electronic, Paper, Legal Suite
<b>Citations</b>	Policy Framework
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Drafts Background materials Policy document review templates Consultation notes Presentations Policy tracking spreadsheet
<b>Retention Rationale</b>	Will ensure that the past review cycle will be retained for future modification of policy documents. Any past material considered in policy review can be moved into the new policy review file if necessary.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium sensitivity

## GOV-0110 Policy Instruments: University-wide

<b>Scope Notes</b>	
Consists of final approved University-wide Policy Instruments as defined in the Policy Framework and related Policy Instrument tracking sheet.	
For draft Policy Instruments and materials related to developing Policy Instruments, see: GOV-0100 Policy Instruments: Development and Tracking	
<b>Retention Trigger</b>	Modified, replaced or rescinded
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	Policy Lead, Policy Owner
<b>Records System</b>	Website Shared Drive
<b>Citations</b>	Policy Framework
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Policy Instruments (Board; Legal, Compliance and Governance; Administrative) Policy Instrument tracking sheets
<b>Retention Rationale</b>	Policies need permanent retention to explain past decisions made based on the policy in place at the time.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Public



## GOV-0120 Policy Instruments: Local

<b>Scope Notes</b>	
Consists of final approved Local Policy Instruments and Policy Review Templates as defined in the Policy Framework.	
For draft Policy Instruments and materials related to developing Policy Instruments, see: GOV-0100 Policy Instruments: Development and Tracking	
<b>Retention Trigger</b>	Policy document modified or rendered obsolete
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	Electronic, Paper
<b>Citations</b>	Policy Framework
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Approved final Local Policy Approved final Local Procedures Completed Policy Review and Planning Templates
<b>Retention Rationale</b>	Policies need permanent retention to explain past decisions made based on the policy in place at the time.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Low sensitivity

## GOV-0200 Board of Governors: Minute Book

<b>Scope Notes</b>	
Minute book contains official signed copies of Board of Governors meeting minutes, copies of governing documents including UOIT Act, by-law, Board of Governors Policies and Procedures, terms of reference for standing committees, and list of Board and committee members.	
Excludes: GOV-0210 Board of Governors: Meetings	
<b>Retention Trigger</b>	Permanent
<b>Retention</b>	
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	<i>University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O</i>
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Agendas Minutes Governing documents UOIT Act By-law BOG Policies and procedures Committee terms of reference Membership lists
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Long term retention

## GOV-0210 Board of Governors: Meetings

<b>Scope Notes</b>	
Consists of Records of Board of Governors and Committee Meetings. Includes the final versions of agendas, minutes and supporting materials for each Board and Committee Meeting.	
Excludes: GOV-0200 Board of Governors: Minute Book	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	15 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	
<b>Records System</b>	Paper Website
<b>Citations</b>	<i>University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O</i>
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Agendas Minutes Packages (supporting materials)
<b>Retention Rationale</b>	Records older than 20 years will remain accessible through the archives for the unit that transfers to the archives. Responsibility for protection and migration over time will be the archives, which has a climate controlled environment.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Long-term retention

## GOV-0220 Board of Governors: Elections

<b>Scope Notes</b>	
Records related to the election of members to the Board of Governors. Includes election-related correspondence, nomination forms, ballots and election results.	
Excludes: GOV-0230 Board of Governors: Member Profiles	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	<i>University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O</i>
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Nomination forms Ballots
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – New PIB series
<b>Vital Record</b>	No
<b>Protection</b>	High

## GOV-0230 Board of Governors: Member Profiles

<b>Scope Notes</b>	
Consists of personal information regarding Board Members and their family members, including names, address and telephone number, resume and photograph.	
<b>Retention Trigger</b>	End of term
<b>Retention</b>	Trigger + 4
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	<i>University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O</i>
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Archives transfer will ensure historical information remains available.
<b>Personal Information</b>	Yes – U3 Board of Governor Member Profiles
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GOV-0300 Academic Council: Meetings

<b>Scope Notes</b>	
Consists of Records of Academic Council and Committee Meetings. Includes the final versions of agendas, minutes and supporting materials for each Academic Council and Committee Meeting.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	20 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	Official Copy: Paper Website
<b>Citations</b>	<i>University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O</i>
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Agendas Minutes Packages (supporting materials)
<b>Retention Rationale</b>	Records older than 20 years will remain accessible through the archives for the unit that transfers to the archives. Responsibility for protection and migration over time will be the archives, which has a climate controlled environment.
<b>Personal Information</b>	No
<b>Vital</b>	Yes
<b>Protection</b>	Long-term retention

## GOV-0310 Academic Council: Elections

<b>Scope Notes</b>	
Records related to the election of members to the Academic Council. Includes election-related correspondence, nomination forms, ballots and election results.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	<i>University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O</i>
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Nomination forms Ballots
<b>Retention Rationale</b>	-
<b>Personal Information</b>	Yes – New PIB series
<b>Vital Record</b>	No
<b>Protection</b>	High

## GOV-0400 Faculty Councils: Meetings

<b>Scope Notes</b>	
Faculty Councils have responsibility for the approval of new programs and courses, policies of the Faculty including admission to its programs, academic standards, curriculum and degree requirements, and long- range academic planning. Faculty Councils also have delegated authority from Academic Council to approve such routine changes in curriculum as changes to existing courses and the deletion of courses.	
Consists of Records of Faculty Council. Includes the final versions of agendas, minutes and supporting materials for each Faculty Council Meeting.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	20 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	-
<b>Records System</b>	Official Copy: Paper Website
<b>Citations</b>	<i>University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O</i>
<b>Record Authority</b>	Originating Dean
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Agendas Minutes Packages (supporting materials)
<b>Retention Rationale</b>	Records older than 20 years will remain accessible through the archives for the unit that transfers to the archives. Responsibility for protection and migration over time will be the archives, which has a climate controlled environment.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Long-term retention



## GOV-0410 Faculty Councils: Elections

<b>Scope Notes</b>	
Records related to the election of members to the Academic Council. Includes election-related correspondence, nomination forms, ballots and election results.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	<i>University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O</i>
<b>Record Authority</b>	Originating Dean
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	High

## GOV-0500 Provost's Advisory Committee on Integrated Planning: Meetings

<b>Scope Notes</b>	
Consists of Records of Academic Council and Committee Meetings. Includes the final versions of agendas, minutes and supporting materials for each Board and Committee Meeting.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	20 years
<b>Responsible Unit(s)</b>	Office of the Provost
<b>Source</b>	-
<b>Records System</b>	Official Copy: Paper Website
<b>Citations</b>	
<b>Record Authority</b>	Provost
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Agendas Minutes Packages (supporting materials)
<b>Retention Rationale</b>	Records older than 20 years will remain accessible through the archives for the unit that transfers to the archives. Responsibility for protection and migration over time will be the archives, which has a climate controlled environment.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Long-term retention

## GOV-0600 Administrative Committees

<b>Scope Notes</b>	
Consists of records of standing and ad-hoc administrative committees established by University Units. Includes agendas, meeting minutes, packages and information about membership. Any other materials considered University Records must be defined for each committee based on the work done by that Administrative Committee. These materials may include evaluations, assessments, summaries or reports.	
<b>Retention Trigger</b>	End of year (fiscal, calendar or academic as applicable)
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Originating Unit If multiple units comprise the Committee, the Committee must decide the Responsible Unit.
<b>Source</b>	-
<b>Records System</b>	Various
<b>Citations</b>	-
<b>Record Authority</b>	Originating V-P
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Agendas Meeting Minutes Packages Membership information Any other materials considered University Records that arise out of Administrative Committees must be defined by the Committee Leadership. These materials may include evaluations or assessments, working papers, etc. Job Evaluation Committee
<b>Retention Rationale</b>	Some committees may have particular legislation mandating their creation and retention of records. This needs to be considered and may require a separate records series.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## Government, Community and Institutional Relations

Consists of records related to enhancing the reputation of the University, establishing, strengthening and growing relationships and partnerships with all levels of government, business, other institutions and the community, donors, students and alumni, and marketing and promoting the University.

Code	Record Series Name	Trigger	Retention Period
GCIR-0100	Government Relations: Registration and Reporting	End of calendar year	10 years
GCIR-0110	Government Relations: Activity Report	End of calendar year	10 years
GCIR-0200	Briefing Materials: Issues		Permanent
GCIR-0210	Briefing Materials: Individuals and Organizations	Superseded	Trigger + 4 years
GCIR-0300	Relationship Management: Contact Lists	Modified or replaced	Trigger + 1 year
GCIR-0310	Relationship Management: Activity	Life of 3 <sup>rd</sup> party	Trigger + 4 years
GCIR-0400	Donors: Profiles		Permanent
GCIR-0410	Donors: Proposals		Permanent
GCIR-0420	Donors: Actions		Permanent
GCIR-0430	Donors: Gift History		Permanent
GCIR-0500	Gifts: Agreements	End of contract and all survival clauses	Paper: Trigger + 7 years Image: Permanent
GCIR-0510	Gifts: Processing	End of fiscal year	Paper: Trigger + 7 years Image: Permanent
GCIR-0600	Alumni: Profiles		Permanent
GCIR-0610	Alumni: Actions		Permanent
GCIR-0620	Alumni: Change Requests	End of calendar year	1 year
GCIR-0700	Alumni: Communications	End of calendar year	5 years
GCIR-0800	Partnerships	End of partnership	7 years
GCIR-0900	Communications: Projects	Completion of project	Trigger + 7 years
GCIR-0910	Communications: Publications and Media Releases	End of calendar year	7 years
GCIR-1000	Event Planning: Case files	Completion of event	7 years
GCIR-1100	Images and Recordings	Image or recording will no longer be used	Trigger
GCIR-1110	Images and Recordings: Consent	Disposition of image or recording	Trigger
GCIR-1200	Media Relations	End of calendar year	10 years

## GCIR-0100 Government Relations: Registration and Reporting

<b>Scope Notes</b>	
This record series consists of registration and reporting mandated by the Federal and Provincial governments. The federal government requires registration as a lobby organization and submission of monthly communications reports. The provincial government requires registration every six months. Includes applications to register as a lobbying organization and reports submitted to the government.	
Excludes GCIR-0110 Government Relations: Activity	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	
<b>Records System</b>	Submitted to federal online system
<b>Citations</b>	<i>Lobbyists Registration Act, 1998, SO 1998, c 27, Sch Lobbying Act, RSC 1985, c 44 (4th Supp) Lobbyists Registration Regulations, SOR/2008-116</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Applications to register as a lobbying organization Reports submitted to government
<b>Retention Rationale</b>	Limitation to commence proceedings under the Lobbyists Registration Act is 10 years after the subject matter of the proceedings arose.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-0110 Government Relations: Activity

<b>Scope Notes</b>	
Records of meetings conducted with government officials, including briefing materials, slide decks, and notes or minutes on results of meeting.	
Excludes GCIR-0100 Relationship Management: Activity	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	-
<b>Records System</b>	Shared drive
<b>Citations</b>	<i>Lobbyists Registration Act, 1998, SO 1998, c 27, Sch Lobbying Act, RSC 1985, c 44 (4th Supp) Lobbyists Registration Regulations, SOR/2008-116</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Briefing material
<b>Retention Rationale</b>	Limitation to commence proceedings under the Lobbyists Registration Act is 10 years after the subject matter of the proceedings arose.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-0200 Briefing Materials: Issues

<b>Scope Notes</b>	
Briefing materials provide background information on issues, individuals or companies and recommendations for institutional policy. They include briefing notes, and any supporting documents information required to understand the briefing notes. This record series is for significant briefing notes on issues of concern to UOIT, including government initiatives, strategic issues or issues UOIT is lobbying.	
Excludes GCIR-0210 Briefing Materials: Individuals and Organizations	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	External sources, created internally
<b>Records System</b>	Shared drive
<b>Citations</b>	
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Briefing notes Associated materials
<b>Retention Rationale</b>	Very long term horizons, issues may be ongoing 30 years from now. Briefing materials will provide a historical record of institutional positions on issues over time.
<b>Personal Information</b>	No
<b>Vital Record</b>	
<b>Protection</b>	Medium/High Long term retention – hardware and software migration strategy

## GCIR-0210 Briefing Materials: Individuals and Organizations

<b>Scope Notes</b>	
<p>Briefing materials provide background information on issues, individuals or companies and recommendations for institutional policy. They include briefing notes, and any supporting documents information required to understand the briefing notes.</p> <p>This record series is for:</p> <ul style="list-style-type: none"> <li>• briefing notes on particular individuals in the government, community or industry</li> <li>• 3<sup>rd</sup> party companies or organizations that require access to UOIT or may become involved in partnerships with UOIT regarding student learning experiences or research funding.</li> </ul> <p>Excludes GCIR-0200 Briefing Materials: Issues</p>	
<b>Retention Trigger</b>	Superseded
<b>Retention</b>	Trigger plus 4 years
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	-
<b>Records System</b>	Shared drive
<b>Citations</b>	-
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Archival Review
<b>Records Arising from Activity</b>	Briefing notes Supporting documents
<b>Retention Rationale</b>	<p>Briefing materials on individuals are superseded when government changes (election, cabinet shuffle, etc.) or organization leadership changes.</p> <p>Briefing materials on organizations are superseded when the 3<sup>rd</sup> party ceases to exist. Once the 3<sup>rd</sup> party no longer exists, the value of the record is primarily historical, and transfer to the archives is appropriate.</p>
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium/High [possible] Long term retention – hardware and software migration strategy



## GCIR-0300 Relationship Management: Contact Lists

<b>Scope Notes</b>	
External Relations maintains multiple databases of contact information for 3 <sup>rd</sup> parties, including all levels of government, community, industry partners and media.	
<b>Retention Trigger</b>	Superseded
<b>Retention</b>	Trigger plus 1 year
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	
<b>Records System</b>	Outlook contacts, Net directories, emails
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Contact list for greater Durham and Northumberland Contact list for Government officials (Federal, provincial, municipal) Contact list for industry: local businesses and multinationals Contact list for media and PR Contact list for alumni
<b>Retention Rationale</b>	Out of date contact information is not relevant. Personal Information must be retained for at least one year after collection and use.
<b>Personal Information</b>	Yes – U2 Alumni, U7 Communications Database
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-0310 Relationship Management: Activity

<b>Scope Notes</b>	
Consists of records of all activity between UOIT and community or industry 3 <sup>rd</sup> parties including communication and meetings. Includes correspondence, logs of communication, handoff between university departments, and meeting materials including slide decks and minutes.	
Excludes TEA-0810 Learning Experiences Database	
<b>Retention Trigger</b>	Life of 3 <sup>rd</sup> Party
<b>Retention</b>	Trigger plus 4 years
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	-
<b>Records System</b>	Outlook contacts, emails
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Correspondence Logs of communication Slide decks
<b>Retention Rationale</b>	Retention of these records throughout the life of the 3 <sup>rd</sup> party organization ensures that if a relationship goes dormant for a period, UOIT is able to pick up where it left off with a full record of the relationship and interactions. This should allow UOIT to maximize on any potential partnerships. Once the 3 <sup>rd</sup> party no longer exists, the value of the record is primarily historical, and archival value may be assessed.
<b>Personal Information</b>	Yes – U7 Communications Database
<b>Vital Record</b>	No
<b>Protection</b>	Long term retention – hardware and software migration strategy

## GCIR-0400 Donors: Profiles

<b>Scope Notes</b>	
Consists of records relating to individual donors, prospects and alumni. Includes contact information, educational and work history, biographical details, reports on philanthropy, and relationships between individuals.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	
<b>Records System</b>	Raiser's Edge Shared Drive
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Donor contact info Donor profiles Relationships stored in Raiser's Edge
<b>Retention Rationale</b>	Donor information may remain useful for long period of time and donors have expectation that the relationship will be remembered over time. Alignment with practices of other institutions.
<b>Personal Information</b>	Yes- U1 Advancement Donors
<b>Vital Record</b>	No
<b>Protection</b>	Medium Sensitivity

## GCIR-0410 Donors: Proposals

<b>Scope Notes</b>	
Consists of records of gift proposals submitted to individual donors and potential donors, whether accepted or rejected.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	Internal
<b>Records System</b>	Raiser's Edge Shared Drive
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Gift proposals
<b>Retention Rationale</b>	Donor information may remain useful for long period of time and donors have expectation that the relationship will be remembered over time. Alignment with practices of other institutions.
<b>Personal Information</b>	Yes- U1 Advancement Donors
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-0420 Donors: Actions

<b>Scope Notes</b>	
Consists of records relating to communications and interactions with individual donors and potential donors including background activity before meetings and copies of personal correspondence.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	
<b>Records System</b>	Raiser's Edge Shared Drive
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Events tab in Raiser's edge Record of communications Record of gifts made by donor Personal correspondence
<b>Retention Rationale</b>	Donor information may remain useful for long period of time and donors have expectation that the relationship will be remembered over time. Alignment with practices of other institutions.
<b>Personal Information</b>	Yes- U1 Advancement Donors
<b>Vital Record</b>	
<b>Protection</b>	

## GCIR-0430 Donors: Gift History

<b>Scope Notes</b>	
Consists of records of gifts made by the donor over time including pledges, payment plan, receipts and balance.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	
<b>Records System</b>	Raiser's Edge Shared Drive
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Record of gifts made by donor Pledge Payment Plan Receipt Balance
<b>Retention Rationale</b>	Donor information may remain useful for long period of time and donors have expectation that the relationship will be remembered over time. Alignment with practices of other institutions.
<b>Personal Information</b>	Yes- U1 Advancement Donors
<b>Vital Record</b>	
<b>Protection</b>	

## GCIR-0500 Gifts: Agreements

<b>Scope Notes</b>	
Consists of agreements between donors and UOIT to provide gifts and any instruction on use of funds. Gift agreements may include terms to be tracked and enforced including payment plans, use of funds, naming rights or others.	
<b>Retention Trigger</b>	End of agreement and all survival clauses
<b>Retention</b>	Paper: 7 years Image: Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	Donors
<b>Records System</b>	Raiser's Edge Shared Drive
<b>Citations</b>	
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Permanent
<b>Records Arising from Activity</b>	Executed gift agreements
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes- U1 Advancement Donors
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## GCIR-0510 Gifts: Processing

<b>Scope Notes</b>	
Consists of records relating to the receipt and processing of gifts, including cheque copies, accompanying documents, bank deposit tracking sheet, online transaction notification, gift remittal form, Raiser's Edge batch and signed charitable receipts.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	Donors, bank
<b>Records System</b>	Raiser's Edge Shared Drive
<b>Citations</b>	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Cheque copies Accompanying documents Bank deposit tracking sheet Gift remittal form Signed charitable receipts
<b>Retention Rationale</b>	Audits will look at 7 years of history.
<b>Personal Information</b>	Yes- U1 Advancement Donors, U2 Alumni
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium



## GCIR-0600 Alumni: Profiles

<b>Scope Notes</b>	
Consists of records relating to individual alumni. Includes contact information, educational and work history, biographical details, reports on philanthropy, and relationships between individuals.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	Registrar's Office Student Life Office
<b>Records System</b>	Raiser's Edge Net Directories Shared Drive
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Alumni profiles including: Contact info Educational and work history Relationships stored in Raiser's Edge
<b>Retention Rationale</b>	Alumni information captures their engagement with UOIT. It is important to foster a long-term relationship with alumni.
<b>Personal Information</b>	Yes- U2 Alumni
<b>Vital Record</b>	No
<b>Protection</b>	Medium Sensitivity

## GCIR-0610 Alumni: Actions

<b>Scope Notes</b>	
Consists of records relating to communications and interactions with individual alumni including records of distribution of newsletters and other mass communications, individual correspondence, attendance at events, and volunteer participation.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	
<b>Records System</b>	Raiser's Edge Shared Drive
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Action and Note tab in Raiser's edge Record of communications Record of gifts made by donor Personal correspondence
<b>Retention Rationale</b>	Alumni information may remain useful for long period of time. Alumni have expectation that the relationship will be remembered over time.
<b>Personal Information</b>	Yes- U2 Alumni
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-0620 Alumni: Change Requests

<b>Scope Notes</b>	
Consists of submissions by Alumni to change their information on file. Change requests are submitted online.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	1 year
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	Alumni
<b>Records System</b>	Net Directories Email Raiser's Edge
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i>
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Completed change requests.
<b>Retention Rationale</b>	Personal Information collected under FIPPA must be retained for at least one year after use. Changes to alumni information will be entered into Raiser's Edge. The updated record will be retained permanently. Any record of the request itself, once fulfilled may be disposed of after one year.
<b>Personal Information</b>	Yes- New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-0700 Alumni: Communications

<b>Scope Notes</b>	
Consists of communications for mass distribution to alumni. Includes form letters or messages, up-to-date contact database, template or mail merge documents, spreadsheets or lists of contacts. Includes messages created by affinity partners for UOIT's approval.	
Record of communications with individual alumni are maintained as part of GCIR-0610 Alumni: Actions	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	
<b>Records System</b>	Net Directories
<b>Citations</b>	
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Newsletters Form email messages Contact database Alumni office communication plans Affinity partner messages approved by UOIT
<b>Retention Rationale</b>	Record that communication was send will be retained within each alumni's action history. 5 years should allow the previous work to be referenced in the creation of new newsletters, communications and contact lists.
<b>Personal Information</b>	Yes – U2 Alumni
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-0800 Partnerships

<b>Scope Notes</b>	
Consists of records related to establishing and managing partnerships with industry and other institutions. Includes formal or significant communications, significant drafts of agreements, terms of agreements, and progress reporting required under the terms of the agreements.	
For executed agreements related to partnerships, see: CMP-0300 Contracts and Agreements	
<b>Retention Trigger</b>	End of partnership
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Retain for 7 years after conclusion of partnership to capture any financial or tax-related implications.
<b>Personal Information</b>	No
<b>Vital Record</b>	
<b>Protection</b>	

## GCIR-0900 Communications: Projects

<b>Scope Notes</b>	
Consists of records used to prepare, produce and distribute print or electronic publications and audio-visual web content. Includes drafts, notes, research materials, copies of images used in developing communication and marketing projects such as advertising, brochures, guides, media releases, newsletters and website updates.	
For final versions produced using these working materials, see: GCIR-0910 Communications: Publications and Media Releases.	
<b>Retention Trigger</b>	End of campaign or project
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	External Relations Originating Unit
<b>Source</b>	
<b>Records System</b>	Shared drive
<b>Citations</b>	
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Drafts Notes Research materials Images
<b>Retention Rationale</b>	Drafts and working materials for communications projects have value as templates for future projects, or as sources to ensure consistent messaging. Assets used in projects may be repurposed in future projects.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium sensitivity

## GCIR-0910 Communications: Final Publications and Media Releases

<b>Scope Notes</b>	
Consists of final versions of print or electronic publications intended for students or external parties and audio-visual web content. Includes communication and marketing projects such as advertising, brochures, guides, newsletters and website updates.	
For working materials used to produce these records, see: GCIR-0900 Communications: Projects	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	15 years
<b>Responsible Unit(s)</b>	External Relations Originating Unit
<b>Source</b>	-
<b>Records System</b>	Shared Drive Paper
<b>Citations</b>	-
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Advertising Announcements Annual Reports Brochures Media Releases Newsletters Pamphlets Posters Publications (of UOIT) Sound Recordings Speeches and Addresses Videos Website
<b>Retention Rationale</b>	Transfer to archives allows permanent retention of published materials in a place that is accessible to C&M while transferring management of these materials to Archives instead of in C&M.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Public

## GCIR-1000 Event Planning: Case Files

<b>Scope Notes</b>	
Consists of records related to planning, logistics and management of campus events, including special events such as convocations or ceremonies. Includes event plan, budget, scenario, and debrief report, registration and attendance.	
For communications materials supporting the event, including program and signs, see: GCIR-0910 Publications and Media Releases	
<b>Retention Trigger</b>	End of event
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	External Relations Originating Unit
<b>Source</b>	
<b>Records System</b>	Shared Drive
<b>Citations</b>	
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Archival Review
<b>Records Arising from Activity</b>	Event Plan Budget Scenario Debrief Registration and attendance
<b>Retention Rationale</b>	Materials may have relevance in future years for planning future events.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## GCIR-1100 Images and Recordings

<b>Scope Notes</b>	
Consists of images and recordings of events, facilities or people intended for use in marketing and communications materials. Includes any descriptive or index information regarding the images and recordings.	
<b>Retention Trigger</b>	Image or recording will no longer be used
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	External Relations Originating Unit
<b>Source</b>	-
<b>Records System</b>	Shared Drive
<b>Citations</b>	-
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Images Video recordings Audio recordings Index information.
<b>Retention Rationale</b>	Images and recordings may have long-term value to the institution to create communication materials documenting UOIT milestones.
<b>Personal Information</b>	Yes – Index of PIBs U6 Media Images and Recordings
<b>Vital Record</b>	No
<b>Protection</b>	Medium Long Term

## GCIR-1110 Images and Recordings: Consent

<b>Scope Notes</b>	
Consists of signed consent forms, electronically submitted consent, or other evidence of consent to use photographs or audio/visual recordings of individuals. Evidence of consent must be retained as long as the associated images or recordings.	
<b>Retention Trigger</b>	Disposition of associated images or recordings
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	External Relations Originating Unit
<b>Source</b>	
<b>Records System</b>	Paper Online submission Images
<b>Citations</b>	
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Consent forms Electronic consent forms sent by email Timestamped photos of consent forms displayed at events
<b>Retention Rationale</b>	Without evidence of consent to use images, individuals may challenge UOIT's use of their image in communications materials.
<b>Personal Information</b>	Yes – Index of PIBs U6 Media Images and Recordings
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-1120 Speaker Releases: Consent

<b>Scope Notes</b>	
Consists of signed consent forms, electronically submitted consent, or other evidence of consent to post or use slides or speaker information for educational or publicity purposes. Evidence of consent must be retained as long as the associated content.	
<b>Retention Trigger</b>	Disposition of associated content
<b>Retention</b>	Trigger + 3
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	
<b>Records System</b>	Paper Online submission Images
<b>Citations</b>	
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Consent forms Electronic consent forms sent by email Timestamped photos of consent forms displayed at events
<b>Retention Rationale</b>	Without evidence of consent to use content, individuals may challenge UOIT's use of their content for educational or other purposes.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## GCIR-1200 Media Relations

<b>Scope Notes</b>	
Consists of records used to manage, schedule and prepare for media appearances and to ensure consistent messaging. Includes briefing materials, media contact sheets, and clips from media appearances.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	External Relations
<b>Source</b>	External sources, created internally
<b>Records System</b>	Shared drive
<b>Citations</b>	-
<b>Record Authority</b>	VP External Relations
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Briefing notes Associated materials Media contact sheets
<b>Retention Rationale</b>	These materials will be used to ensure consistent messaging. Some issues may be relevant in the future, so a long retention period is warranted.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium Long term retention – hardware and software migration strategy

## Human Resources

Includes records related to employees, attendance and scheduling, employee relations, compensation, payroll, pension and benefits, recruitment and hiring, performance evaluation, training and development as well as search committees. Also includes records of Academic Affairs: Faculty Official Files, tenure and promotion, collective bargaining and grievances and arbitration.

Code	Record Series Name	Trigger	Retention Period
HUM-0100	Human Resources Information System		Permanent
HUM-0110	Personnel File	End of employment with UOIT	Trigger + 7 years
HUM-0120	Official File (Faculty Members)	End of employment with UOIT	Trigger + 7 years
HUM-0130	Tenure and Promotion	End of employment with UOIT	Trigger + 7 years
HUM-0140	Local Personnel File	End of assignment with unit	Trigger + 2 years
HUM-0200	Recruitment: Competition Case Files	Hiring decision made	Trigger + 2 years
HUM-0210	Recruitment: Education Verification Results	Hiring decision made	Trigger + 2 years
HUM-0300	Job Evaluation: Case Files	The job is re-evaluated	Trigger + 1 year
HUM-0310	Job Evaluation: Job Evaluation Plan	Plan modified or replaced	Trigger + 1 year
HUM-0320	Job Evaluation: Committee	End of calendar year	7 years
HUM-0400	Annual Performance Review	Completion of review	5 years
HUM-0410	Performance Review: Faculty Members	End of employment with UOIT	Trigger + 7 years
HUM-0500	Compensation: Salary Grid	Publication of salary grid	2 years
HUM-0510	Compensation: Salary Increase	End of cycle	3 years
HUM-0600	Pension: Plan Administration		Permanent
HUM-0610	Pension: Individual Beneficiary Entitlements	Beneficiary no longer has an entitlement under the plan	Trigger + 7 OR Permanent
HUM-0620	Pension: Summary of Individual Beneficiaries		Permanent
HUM-0700	Benefits: Plan Administration	Changes to benefits plan	Trigger + 7 years
HUM-0710	Benefits: Employee files	End of employment with UOIT	Trigger + 7 years
HUM-0720	Benefits: In-house programs	End of calendar year	7 years
HUM-0730	Benefits: Health Care Expense Account (Retired Employees)	Death of Employee	Trigger + 7 years
HUM-0740	Benefits: Plans		Permanent
HUM-0800	Disability Management: Short Term Disability	End of employment with UOIT	Trigger + 7 years
HUM-0810	Disability Management: Long Term Disability	End of employment with UOIT	Trigger + 7 years
HUM-0900	Employee Relations: Complaints	Complaint resolved or escalated	3 years

Code	Record Series Name	Trigger	Retention Period
HUM-0910	Employee Relations: Discipline Case Files	Decision rendered	7 years
HUM-0920	Employee Relations: Discipline Letters (Non-Union)	Employee no longer with UOIT	Trigger + 7 years
HUM-0930	Employee Relations: Discipline Letters (Faculty Association)	From Collective Agt. text	Trigger
HUM-0940	Employee Relations: Discipline Letters (Sessional Lecturers)	From Collective Agt. text	Trigger
HUM-0950	Employee Relations: Discipline Letters (Teaching Assistants & Research Assistants)	From Collective Agt. text	Trigger
HUM-1000	UCASS Academic Salary Survey		Permanent
HUM-1100	Attendance	End of calendar year	3 years
HUM-1200	Employment Equity		Permanent
HUM-1300	Information Request	End of calendar year	2 years
HUM-1400	Termination	End of calendar year	7 years

## HUM-0100 Human Resources Information System

<b>Scope Notes</b>	
<p>The Human Resources Information System (HRIS) tracks information on individual employees and their employment history. Includes employee contact information, compensation, attendance, and tenure and promotion data. Excludes annual review results, resume, employment or offer letters.</p> <p>Administered separately from HUM-110 Personnel file, which may contain backup for changes made in the HRIS.</p> <p>For records of attendance at the unit level, see: HUM-1100 Attendance</p> <p>Excludes pension records: HUM-0610 Individual Beneficiary Entitlements, HUM-0620 Summary of Individual Beneficiaries.</p> <p>Excludes records of benefits: HUM-0710 Employee Files, HUM-0730 Health Care Expense Account (Retired employees).</p> <p>Excludes Performance Management records: HUM-0400 Annual Performance Review and HUM-0410 Performance Review: Faculty Members.</p> <p>Excludes Employee Relations records: HUM-0900 Complaints, HUM-0910 Discipline Case Files, HUM-0920-0950 Discipline Letters.</p>	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, Units – attendance data
<b>Records System</b>	Banner - HRIS
<b>Citations</b>	<i>Employment Standards Act S.O. 2000, c.41, s.15</i>
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure Deletion
<b>Records Arising from Activity</b>	For each employee: Person Sheet Employment History
<b>Retention Rationale</b>	Based on the inability to selectively delete information from banner employment history/person sheets discussed in Records System Details.  Keeping employment history of all former employees is useful in case someone reapplies, or makes an inquiry in the future.
<b>Personal Information</b>	Yes – PIB Index E2 Human Resources Information System
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## HUM-0110 Personnel File

<b>Scope Notes</b>	
Records documenting the employment history of University Employees including the initial appointment, status changes including salary changes, correspondence with employees, performance improvement plans, termination documents, and supporting documentation for changes made in HRIS.	
Performance Management and Discipline records are interfiled, but subject to a different retention period. See: HUM-0400 Annual Review, HUM-0910 Discipline Case Files, HUM-0920-0950 Discipline Letters.	
Excludes HUM-0100 Human Resources Information System, HUM-1100 Attendance	
Excludes pension records: HUM-0610 Individual Beneficiary Entitlements, HUM-0620 Summary of Individual Beneficiaries.	
Excludes records of benefits: HUM-0710 Employee Files, HUM-0730 Health Care Expense Account (Retired employees)	
Administered separately from HUM-0120 Official File (Faculty Association and Tenured Faculty) which is created and retained in accordance with collective agreements.	
<b>Retention Trigger</b>	End of employment with UOIT
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Received from Units, Employee
<b>Records System</b>	Paper, email
<b>Citations</b>	<i>Employment Standards Act S.O. 2000, c.41, s.15</i>
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Initial appointment letter, status change forms, correspondence, performance improvement plans, termination documents, letters of discipline.
<b>Retention Rationale</b>	ESA requires records to be kept for 3 years following employment. 7 years provides a window for any litigation or challenges to benefits or pay administration to be brought.
<b>Personal Information</b>	Yes – PIB Index E3 Academic Staff, E4 Academic Staff Appointments, E5 Academic Staff Promotion and Renewal, E6 Non-Academic Staff, E7 Non-Academic Staff Appointments, E8 Senior Administrative Personnel
<b>Vital Record</b>	Yes
<b>Protection</b>	High



## HUM-0120 Official File (Faculty Members)

<b>Scope Notes</b>	
<p>Under the Collective Agreements, UOIT will maintain an Official File for Each Faculty Member from the time of first appointment. Contents of this file are prescribed in the Collective Agreements. Administered separately from HUM-0110 Personnel File which are records necessary for the administration of employment, compensation and benefits.</p> <p>Materials included in this file are also administered separately as part of the following records series: HUM-0510 Salary Increase, HUM-0610 Individual Beneficiary Entitlements, HUM-0620 Summary of Individual Beneficiaries, HUM-0710 Benefits: Employee Files, HUM-0730 Health Care Expense Account (Retired employees), HUM-0400 Annual Review, HUM-0930 Discipline Letters (Faculty Members)</p> <p>Administered separately from HUM-0110 Personnel File which is comprised of working copies of materials as permitted by the Collective Agreements.</p>	
<b>Retention Trigger</b>	End of employment with UOIT
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Provost's Office
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	<i>Employment Standards Act</i> S.O. 2000, c.41, s.15 UOIT Faculty Association Collective Agreement Art. 18 UOIT Faculty Association for Teaching Faculty Collective Agreement Art. 18
<b>Retention Rationale</b>	Retention of this record is governed by the collective agreements.
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Initial letter of appointment; Evidence of degrees obtained; A curriculum vitae to be provided by the Faculty Member; Course evaluations; Performance evaluations; A Teaching Dossier; The Faculty Member's annual reports; Copies of certificates or records of professional development or achievement; Copy of the Third Year Review report; Copy of the tenure review recommendation(s) and decision(s); Material relating to any approved leave of absence; Reports and recommendations from applications for promotion; Material relating to salary changes; Research leave application(s) and report(s); Faculty Member's comments about documents in the file attached to the relevant document(s); Letters of discipline; Signed letter(s) of commendation or complaint;

	Any other materials, pertaining to the Faculty Member's employment with the University, included by the Employer with a copy to the Faculty Member or provided by the Faculty Member for inclusion in the file.
<b>Personal Information</b>	Yes – PIB Index E3 Academic Staff, E4 Academic Staff Appointments, E5 Academic Staff Promotion and Renewal
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## HUM-0130 Tenure and Promotion: Dossier

<b>Scope Notes</b>	
<p>Consists of all documentation collected to evaluate applications for tenure or promotion to Professor. The documentation to be collected by the Dean and/or submitted by the Faculty Member is prescribed in the Faculty Association Collective Agreement.</p> <p>For official copies of recommendations and decision letters related to Tenure and Promotion, see: HUM-0120 Official File (Faculty Members).</p>	
<b>Retention Trigger</b>	Decision made, all appeals complete
<b>Retention</b>	Trigger + 1 year
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	Dean, Candidate, References
<b>Records System</b>	Paper only
<b>Citations</b>	UOIT Faculty Association Collective Agreement Art. 20
<b>Retention Rationale</b>	Tenure and promotion decisions should be made based on a clean slate.
<b>Record Authority</b>	Provost
<b>Disposition</b>	<p>Recommendations and decision letters: Transfer to HUM-0120 Official File (Faculty Members) for retention.</p> <p>Research dossier: Return to candidate</p> <p>All other materials: Secure destruction</p>
<b>Records Arising from Activity</b>	<p>Tenure documentation supplied by candidate</p> <p>Tenure documentation collected by Dean</p>
<b>Personal Information</b>	Yes – E5 Academic Staff Promotion and Renewal
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## HUM-0140 Local Personnel File

<b>Scope Notes</b>	
<p>Consists of all documentation kept regarding an employee by their supervisor for the purposes of performance management, scheduling, discipline or ensuring that payroll and benefits are administered correctly.</p> <p>This file may contain copies of records in HUM-0110 Personnel File and HUM-0120 Official File (Faculty Members). Only material that is unique to this file is considered a University Record subject to the retention period. Copies are Transitory Records to be retained only as long as they are useful.</p> <p>For official copies of employment records, see: HUM-0110 Personnel File and HUM-0120 Official File (Faculty Members).</p>	
<b>Retention Trigger</b>	End of assignment with unit
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Retention Rationale</b>	Contains a mix of Transitory and University Records.
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Unique material requiring retention: transfer to HUM-0110 Personnel File All other materials: Secure destruction
<b>Records Arising from Activity</b>	
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## HUM-0200 Recruitment: Competition Case Files

<b>Scope Notes</b>	
Records of competitions for hiring, from the initial request for hiring to the onboarding of a successful candidate or withdrawal of the competition. Includes: Hiring request, job postings, screening criteria and tools, pre-interview screening questions and responses, resumes, interview notes, shortlist, reference checks, copy of offer letter.	
Hiring units must retain a copy of all competition materials not submitted to HR.	
For results of pre-employment screening, see: HUM-0210 Education Verification Results	
<b>Retention Trigger</b>	Hiring decision made
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	Human Resources; Originating Units
<b>Source</b>	Human Resources, Units, 3 <sup>rd</sup> party submissions
<b>Records System</b>	Electronic, ATS, email (resume, reference letter submissions)
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act</i> , RSO 1990, c F.31 s.40 <i>Disposal of Personal Information</i> , RRO 1990, Reg 459 Human Rights Code, R.S.O. 1990, c. H.19 s.34
<b>Records Authority:</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure deletion Records of successful candidate: transfer to HUM-0110 Personnel File
<b>Records Arising from Activity:</b>	Job postings Screening Criteria and tools Pre-interview screening questions and responses Interview notes Shortlist Reference checks Copy of offer letter. Candidate pool (resumes and profiles)
<b>Retention Rationale</b>	Risk of challenge to interview process, either grievance, human rights code or civil law.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0210 Recruitment: Education Verification Results

<b>Scope Notes</b>	
As part of the hiring process for Academic Personnel, a check is completed of the candidate's academic history. HR provides the full name and email address of the candidate, and Back check sends all authorization forms directly to the candidate.	
<b>Retention Trigger</b>	Hiring decision made
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Sterling BackCheck
<b>Records System</b>	Sterling BackCheck
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Database records stored on a contracted server Emails sent to Back check
<b>Retention Rationale</b>	Risk of challenge to interview process, either grievance, human rights code or civil law.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0300 Job Evaluation: Case Files

<b>Scope Notes</b>	
Jobs are evaluated based on a request from Unit management, and the submission of a completed Job Information Questionnaire. The Job Evaluation Committee creates a combined raters sheets with a rationale for their decision. A case file consists of: request for evaluation, job information questionnaire, combined raters sheet, outcome letter.	
<b>Retention Trigger</b>	The job is re-evaluated.
<b>Retention</b>	Trigger + 1
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Units; Human Resources; Job Evaluation Committee
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Secure destruction
<b>Retention Rationale</b>	Operational need. These materials will be used to re-evaluate the job in the future. So once the job is re-evaluated and modified, that evaluation will be the standard to measure any future changes to the job rating.
<b>Records Arising from Activity</b>	Request for evaluation, job information questionnaire, combined raters sheet, outcome letter.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## HUM-0310 Job Evaluation: Job Evaluation Plan

<b>Scope Notes</b>	
The job evaluation plan is a listing of the criteria used in Job Evaluation.	
<b>Retention Trigger</b>	Plan modified or replaced
<b>Retention</b>	Trigger + 1
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Job evaluation plan
<b>Retention Rationale</b>	Plans are changed infrequently. Old job evaluation plan will not be used again once changed.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## HUM-0400 Annual Performance Review

<b>Scope Notes</b>	
Each year, unit management complete performance reviews for all staff and submit to HR for retention. Performance review outcomes of Faculty members are provided by Academic Affairs and retained as part of this record series.	
For the written faculty performance review (not just results) see: HUM-0410 Performance Review: Faculty Members	
<b>Retention Trigger</b>	Completion of review
<b>Retention</b>	5 years.
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Unit Management, Academic Affairs
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Unit Management
<b>Retention Rationale</b>	Based on operational need. Would not consider performance prior to 5 years.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0410 Performance Review: Faculty Members

<b>Scope Notes</b>	
Each year, faculty members submit an annual activity report. The Dean creates a written assessment of performance. These records are retained as part of: HUM-0120 Official File (Faculty Members).	
For results of performance reviews submitted to Human Resources, see: HUM-0120 Official File (Faculty Members)	
<b>Retention Trigger</b>	End of employment with UOIT
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Academic Affairs
<b>Source</b>	Faculty Member, Dean
<b>Records System</b>	Paper
<b>Citations</b>	Teaching Faculty Collective agreement Article 17 Faculty Association Collective agreement Article 17
<b>Record Authority</b>	Provost
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Annual activity report Performance Assessment
<b>Retention Rationale</b>	Match retention of HUM-0120 Official File (Faculty Members).
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0500 Compensation: Salary Grid

<b>Scope Notes</b>	
Salary grids for Managerial and Professional and Administrative and Technical staff provide salary ranges or step increases. They are renewed each year and posted on the UOIT website.	
<b>Retention Trigger</b>	Publication of salary grid
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources
<b>Records System</b>	Paper, UOIT Website
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Destruction / deletion
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Based on operational need
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Public

## HUM-0510 Compensation: Salary Increase

<b>Scope Notes</b>	
Records of annual merit increases and increases based on the outcome of job evaluation. Increases for all Managerial and Professional are calculated once a year. Increases for Administrative and Technical are calculated on the anniversary date.	
Includes: Merit increase calculations, increase letters, advice to payroll, status change form.	
<b>Retention Trigger</b>	End of cycle
<b>Retention</b>	3 years.
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	3 years.
<b>Records Arising from Activity</b>	Payroll, Department Management
<b>Retention Rationale</b>	To verify that increases are correctly applied.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0600 Pension: Plan Administration

<b>Scope Notes</b>	
Consists of all records that create and support the pension plan and pension fund.	
Includes pension plan documents and texts (including all amendments), documents filed in support of an application for plan registration (e.g. trust agreements, insurance contracts, member booklets), documents that set out UOIT's responsibilities with respect to the pension plan, delegation of plan or fund administration, copies of FSCO filings, reports or statements, copies of correspondence between UOIT, 3 <sup>rd</sup> party service provider and FSCO, copies of any statements of investment policies and procedures.	
Excludes records of individual plan members. For records of individual plan members, see HUM-0610 Individual Beneficiary Entitlements and HUM-0620 Summary of Individual Beneficiaries.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Generated by HR, received from 3 <sup>rd</sup> party service provider or FSCO
<b>Records System</b>	Paper
<b>Citations</b>	Pension Benefits Act, R.S.O. 1990, c. P.8 s25-31 Regulation 909, R.R.O. 1990
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	pension plan documents and texts (including all amendments), documents filed in support of an application for plan registration (e.g. trust agreements, insurance contracts, member booklets), documents that set out UOIT's responsibilities with respect to the pension plan, delegation of plan or fund administration, copies of FSCO filings, reports or statements, copies of correspondence between UOIT, 3 <sup>rd</sup> party service provider and FSCO, copies of any statements of investment policies and procedures.
<b>Retention Rationale</b>	Advice from FSCO says that these records must always be made available.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## HUM-0610 Pension: Individual Beneficiary Entitlements

<b>Scope Notes</b>	
A record of the pension entitlements of individual employees including initial enrolment, the decisions made by an employee regarding optional contributions and beneficiaries over time and any correspondence with the member.	
Records of the value of entitlements are kept by the 3 <sup>rd</sup> party service provider, including the record of payment of entitlements following retirement or the end of employment.	
Excludes HRX11 Plan Administration, HRX13 Summary of Individual Beneficiaries	
<b>Retention Trigger</b>	Beneficiary no longer has an entitlement under the plan
<b>Retention</b>	If a summary is retained: Trigger + 7 If no summary is retained: Permanent
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Employee submitted forms, 3 <sup>rd</sup> party service provider, Human Resources
<b>Records System</b>	Paper
<b>Citations</b>	Pension Benefits Act, R.S.O. 1990, c. P.8 s25-31 Regulation 909, R.R.O. 1990
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Create HUM-0620 Pension: Summary of Individual Beneficiaries Secure destruction
<b>Records Arising from Activity</b>	Enrolment forms Election forms Correspondence with member Record of payment of entitlements
<b>Retention Rationale</b>	FSCO allows the disposition of these records provided a summary is retained.
<b>Personal Information</b>	Yes - New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0620 Pension: Summary of Individual Beneficiaries

<b>Scope Notes</b>	
<p>A summary record of the beneficiaries who no longer have an entitlement under the pension plan because their benefit has been paid otherwise transferred out. This summary provides confirmation that the entitlement under the plan has been settled.</p> <p>Includes completed enrolment form, employee's name, plan membership entry date, date of end of employment or retirement, vested status, disclosure made to the member at end of employment, beneficiary designations, record of amount and date of payment.</p> <p>For records of pension plan administration, see: HUM-0600 Plan Administration.</p> <p>For records of individual beneficiaries, see: HUM-0610 Individual Beneficiary Entitlements</p>	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, 3 <sup>rd</sup> party service provider
<b>Records System</b>	Paper
<b>Citations</b>	Pension Benefits Act, R.S.O. 1990, c. P.8 s25-31 Regulation 909, R.R.O. 1990
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	
<b>Records Arising from Activity</b>	Completed enrolment form, employee's name, plan membership entry date, date of end of employment or retirement, vested status, disclosure made to the member at end of employment, beneficiary designations, record of amount and date of payment.
<b>Retention Rationale</b>	This record series consists of the most basic information recommended by FSCO for permanent retention.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0700 Benefits: Plan Administration

<b>Scope Notes</b>	
Records relating to the selection, renewal and administration of benefits plans. Includes correspondence with benefits service providers, quotes for coverage, explanations and brochures provided to employees, and a monthly audit of benefits contributions prior to payment.	
Excludes HUM-0720 Benefits: In-house programs	
For records of individual plan members, see HUM-0710 Benefits: Employee Files	
Excludes executed agreements and amendments to overall agreement for benefits coverage, group benefits policies for employee groups. For executed agreements and benefits policies, see HUM-0740 Benefits: Plans	
<b>Retention Trigger</b>	Changes to benefits plan
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, 3 <sup>rd</sup> party service provider
<b>Records System</b>	Paper, web, email
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Destruction
<b>Records Arising from Activity</b>	Correspondence with benefits service providers, quotes for coverage, explanations and brochures provided to employees, and a monthly audit of benefits contributions prior to payment.
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## HUM-0710 Benefits: Employee Files

<b>Scope Notes</b>	
Consists of records documenting employee enrolment in benefits plans and annual decision forms regarding optional contributions, beneficiaries and optional coverage. Also includes occasional forms such as the selection of beneficiaries, option to continue benefits during leave and contribution rates. Also includes records of leave taken by employees, including forms submitted to request leave, advice to payroll, and memo regarding leave details created for employee.	
Excludes notifications sent to employees to update their beneficiaries or elections.	
<b>Retention Trigger</b>	Employee no longer with the University
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, 3 <sup>rd</sup> party service provider
<b>Records System</b>	Paper
<b>Citations</b>	<i>Employment Standards Act S.O. 2000, c.41, s.15</i>
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Selection of beneficiaries, election for optional coverage, option to continue benefits during leave and contribution rates. Each year, employees are asked to confirm their decisions regarding optional contributions, beneficiaries and optional coverage. Also includes records of leave taken by employees, including forms submitted to request leave, advice to payroll, and memo regarding leave details created for employee.
<b>Retention Rationale</b>	Benefits coverage ends at the end of employment (with exceptions captured in other series). Records in this series may tie into Finance or Payroll records that are retained for 7 years.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0720 Benefits: In-house programs

<b>Scope Notes</b>	
Records relating to the administration of in-house benefits programs such as Tuition Assistance, Health Care Expense Account, Supplemental Retirement Arrangement. Includes reports, descriptions of benefits provided to employees and calculations to support these programs.	
For records of individual plan members, see HUM-0710 Benefits: Employee Files	
For administration of benefits plans involving a 3 <sup>rd</sup> party service provider, see: HUM-0700 Benefits: Plan Administration.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, 3 <sup>rd</sup> party service provider
<b>Records System</b>	Paper, web, email
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Explanations of benefits coverage are provided to staff
<b>Retention Rationale</b>	Benefits coverage ends at the end of employment (with exceptions captured in other series). Records in this series may tie into Finance or Payroll records that are retained for 7 years.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## HUM-0730 Benefits: Health Care Expense Account (Retired employees)

<b>Scope Notes</b>	
Information regarding enrolment of retired employee in Health Care Expense Account, including enrolment forms, beneficiary designations, election forms, contribution rates and confirmation of continued eligibility for the benefit.	
Excludes advice to employees to update their beneficiaries or elections.	
<b>Retention Trigger</b>	Death of employee
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, retired employees
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Including enrolment forms, beneficiary designations, election forms, contribution rates and confirmation of continued eligibility for the benefit.
<b>Retention Rationale</b>	Records in this series may tie into finance or payroll records that are retained 7 years. This benefit continues following the retirement of an eligible employee until the death of the employee.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0740 Benefits: Plans

<b>Scope Notes</b>	
<p>Consists of executed agreements with benefits providers, plans and explanations of coverage and all supporting documentation required to interpret them.</p> <p>For records of individual plan members, see HUM-0710 Benefits: Employee Files</p> <p>For correspondence and material regarding selection of benefits plans and coverage, see: HUM-0700 Benefits: Plan Administration</p>	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, 3 <sup>rd</sup> party service provider
<b>Records System</b>	Paper, web, email
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Destruction
<b>Records Arising from Activity</b>	<p>Plans</p> <p>Executed agreements and amendments</p> <p>Explanations of coverage</p> <p>Any supporting documentation required to interpret</p>
<b>Retention Rationale</b>	Retain permanently to demonstrate coverage over time.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## HUM-0800 Disability Management: Short Term Disability

<b>Scope Notes</b>	
Records relating to Short Term Disability cases for individual employees including forms submitted to initiate STD case with service provider, validation of eligibility of claim, other correspondence with service provider, information on return to work including expected return, accommodations, and return to work plan.	
<b>Retention Trigger</b>	End of employment with UOIT
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, Service Provider
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Forms submitted to initiate STD case with service provider, validation of eligibility of claim, other correspondence with service provider, information on return to work including expected return, accommodations, return to work plan.
<b>Retention Rationale</b>	Match retention of HUM-0110 Personnel File. Most information on a case is retained by the service provider.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## HUM-0810 Disability Management: Long Term Disability

<b>Scope Notes</b>	
Records relating to Long Term Disability cases for individual employees including forms submitted to transition an STD case to an LTD case including correspondence with employees, third party service provider, information on return to work including expected return, accommodations, return to work plan, notifications to Payroll.	
<b>Retention Trigger</b>	End of employment with UOIT
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, Service Provider
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Correspondence with employees, third party service provider, information on return to work including expected return, accommodations, return to work plan, notifications to Payroll.
<b>Retention Rationale</b>	Match retention of HUM-0110 Personnel File. Most information on a case is retained by the service provider.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## HUM-0900 Employee Relations: Complaints

<b>Scope Notes</b>	
Record of employee complaints and the steps taken to investigate, that do not result in disciplinary action. Includes: Log of complaints, correspondence regarding the complaint, record of any meetings that take place as a result.	
For records of disciplinary action, including those resulting from complaints see: HUM-0910 Discipline Case Files	
<b>Retention Trigger</b>	Complaint resolved or escalated
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction If formal investigation or discipline is warranted, transfer to discipline case file
<b>Records Arising from Activity</b>	Log of complaints, correspondence regarding the complaint, record of any meetings that take place as a result
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0910 Employee Relations: Discipline Case Files

<b>Scope Notes</b>	
Records of any investigations of discipline matters including complaints, notes on incidents, investigation notes, meetings and interviews conducted and any other documentation.	
For formal letters resulting from these case files: HUM-0920 Discipline Letters (Non-Union), HUM-0930 Discipline Letters (Faculty Members), HUM-0940 Discipline Letters (Sessional Lecturers), HUM-0950 Discipline Letters (Teaching Assistants & Research Assistants)	
<b>Retention Trigger</b>	Decision rendered
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Human Resources Originating Unit
<b>Source</b>	Human Resources
<b>Records System</b>	Paper
<b>Citations</b>	UOIT Faculty Association Collective Agreement Art. 24.02 UOIT Faculty Association for Teaching Faculty Collective Agreement Art. 23.02 PSAC for Sessional Lecturers Collective Agreement Art. 17.07 PSAC for TAs & RAs Collective Agreement Art. 16.07
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	complaints, notes on incidents, investigation notes, meetings and interviews conducted and any other documentation created during the course of the discipline process outlined in the Collective Agreements
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High



## HUM-0920 Employee Relations: Discipline Letters (Non-Union)

<b>Scope Notes</b>	
Formal discipline letters issued resulting from an incident, investigation or conflict. These records are retained as part of the Personnel File.	
For case files documenting these letters, see: HUM-910 Employee Relations: Discipline Case Files	
<b>Retention Trigger</b>	Employee no longer with the University
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, employees
<b>Records System</b>	Paper; stored in Personnel file
<b>Citations</b>	
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Discipline letters
<b>Retention Rationale</b>	Match retention of HUM-0110 Personnel File.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0930 Employee Relations: Discipline Letters (Faculty Association)

<b>Scope Notes</b>	
Formal discipline letters issued resulting from an incident, investigation or conflict. These records are retained as part of the Personnel File and Faculty Official file.	
For case files documenting these letters, see: HUM-910 Employee Relations: Discipline Case Files	
<b>Retention Trigger</b>	2 years following discipline, provided no further disciplinary action has been taken.
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, retired employees
<b>Records System</b>	Paper; stored in Personnel file, Official File
<b>Citations</b>	UOIT Faculty Association Collective Agreement Art. 24.02 UOIT Faculty Association for Teaching Faculty Collective Agreement Art. 23.02
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Discipline Letters
<b>Retention Rationale</b>	Based on obligation in Collective Agreements which dictates when a letter must be removed from the Official File.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0940 Employee Relations: Discipline Letters (Sessional Lecturers)

<b>Scope Notes</b>	
Formal discipline letters issued resulting from an incident, investigation or conflict. These records are retained as part of the Personnel File.	
For case files documenting these letters, see: HUM-910 Employee Relations: Discipline Case Files	
<b>Retention Trigger</b>	24 months of employment, excluding the term in which the disciplinary letter was issued, provided that no further discipline has been recorded.
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, retired employees
<b>Records System</b>	Paper
<b>Citations</b>	PSAC for Sessional Lecturers Collective Agreement Art. 17.07
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Discipline Letters
<b>Retention Rationale</b>	Based on Collective Agreement obligation which dictates when a letter must be removed from the Personnel File.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-0950 Employee Relations: Discipline Letters (Teaching Assistants & Research Assistants)

<b>Scope Notes</b>	
Formal discipline letters issued resulting from an incident, investigation or conflict. These records are retained as part of the Personnel File.	
For case files documenting these letters, see: HUM-910 Employee Relations: Discipline Case Files	
<b>Retention Trigger</b>	Completion of two Terms of employment, excluding the Term in which the disciplinary letter was issued, or a 12 month period, whichever is shorter, from the date of the letter and provided that no further discipline has been recorded within the period noted above
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Human Resources, retired employees
<b>Records System</b>	Paper; stored in Personnel file
<b>Citations</b>	PSAC for TAs & RAs Collective Agreement Art. 16.07
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	Discipline Letters
<b>Retention Rationale</b>	Based on Collective agreement requirements which dictate when a letter must be removed from the Personnel File.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-1000 UCASS Academic Salary Survey

<b>Scope Notes</b>	
University and Colleges Academic Salary Survey is based on data from October 1 <sup>st</sup> of each year. Data is extracted from Banner and HR works with Office of Institutional Research and Analysis to confirm.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Human Resources, Office of Institutional Research and Analysis
<b>Source</b>	Core Faculty, Teaching Faculty, Academic Associates and Durham College employees that teach as part of the Collaborative Nursing program.
<b>Records System</b>	Hybrid
<b>Citations</b>	UCASS Data Element Manual for Survey Respondents
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Data to remain on file indefinitely.
<b>Records Arising from Activity</b>	Data sheet
<b>Retention Rationale</b>	Recommendation to retain permanently.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	Low

## HUM-1100 Attendance

<b>Scope Notes</b>	
Attendance and scheduling records used as back up to the attendance information reported to the HRIS.	
Excludes HUM-0100 Human Resources Information System	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	
<b>Records System</b>	Email, spreadsheets
<b>Citations</b>	<i>Employment Standards Act S.O. 2000, c.41, s.15</i>
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Vacation/time off requests Attendance tracking sheets
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Attendance information will be retained in the HRIS indefinitely. These records are required to resolve any disputes regarding quantity of leave taken. Leave records are required to be maintained for 3 years under ESA.
<b>Personal Information</b>	Yes PIB Index E3 Academic Staff, E6 Non-Academic Staff, E8 Senior Administrative Personnel
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## HUM-1200 Employment Equity

<b>Scope Notes</b>	
Consists of employment Equity database, maintains records of the workforce for generating employment equity reports.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	-
<b>Records System</b>	Employment equity database
<b>Citations</b>	Employment Equity Act (1995): Federal Contractors Program
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	E9 - Employment equity database
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## HUM-1300 Information Request

<b>Scope Notes</b>	
Consists of requests to view information contained in Personnel Files.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	Human Resources
<b>Source</b>	Employees
<b>Records System</b>	-
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low



## HUM-1400 Termination

<b>Scope Notes</b>	
Consists of records relating to the planning and implementation of the termination and off-boarding of employees. Includes notification to Payroll/Finance, Security and IT including requests for revocation of user access rights, retaining assets, data recovery and transfer to designated departments.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Human Resources IT Services
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	-
<b>Record Authority</b>	VP Human Resources and Services
<b>Disposition:</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Match retention of HUM-0110 Personnel File.
<b>Personal Information</b>	PIB Index E3 Academic Staff, E4 Academic Staff Appointments, E5 Academic Staff Promotion and Renewal, E6 Non-Academic Staff, E7 Non-Academic Staff Appointments, E8 Senior Administrative Personnel
<b>Vital Record</b>	No
<b>Protection</b>	High

## HUM-1500 Collective Bargaining

<b>Scope Notes</b>	
Consists of records relating to the collective bargaining process with unions. Includes notes of the official note-taker documenting all meetings between the University and union. Also includes binders containing all drafts and revisions of articles in the Collective Agreement and a final binder containing final versions of all articles signed by both the union and the University.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Academic Affairs
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition:</b>	
<b>Records Arising from Activity</b>	Drafts of articles Final signed articles Official note-taker's notes of meetings
<b>Retention Rationale</b>	Based on accepted practice.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## HUM-1600 Grievances and Arbitration

<b>Scope Notes</b>	
Consists of records of grievances submitted by unionized employees and any arbitration process used to resolve them. Includes complaints, correspondence, decisions, and all other documents considered during arbitration.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Academic Affairs
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition:</b>	Destroy
<b>Records Arising from Activity</b>	Complaints Correspondence Decisions Documents considered during arbitration
<b>Retention Rationale</b>	Based on accepted practice. Potential need to review arbitration files if a similar issue arises in the future.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## Information Technology Services

Consists of records related to Information technology, including learning tools and other IT assets, software acquisition and the provision of access rights.

Code	Record Series Name	Trigger	Retention Period
ITS-0100	Learning Tools: Agreements	End of agreement and all fees paid	3 years
ITS-0200	Asset Management: Inventory	Disposition of asset	2 years
ITS-0210	Asset Management: Current Configuration	Disposition of asset	2 years
ITS-0220	Asset Management: Repair and Service	Disposition of asset	1 year
ITS-0230	Asset Management: Disposition	Disposition of asset	7 years
ITS-0300	Software Management: Needs Assessment	End of academic year	4 years
ITS-0310	Software Management: Budget	End of academic year	4 years
ITS-0320	Software Management: Acquisition	End of contract	2 years
ITS-0330	Software Management: Deployment	End of academic year	7 years
ITS-0340	Software Management: License Compliance	End of contract	7 years
ITS-0400	IT Project Management	End of project and system normalized	5 years
ITS-0410	IT Project Management: Intake and Reporting (Durham College)	End of project and system normalized	5 years
ITS-0420	IT Project Deliverables: System Specifications and Code	System decommissioned and data migrated	2 years
ITS-0430	Data Migration: Enterprise systems		Permanent
ITS-0500	User Access: Requests		Permanent
ITS-0510	User Access: Audit	End of calendar year	5 years
ITS-0600	Shared Services: Reporting		7 years
ITS-0610	Shared Services: Agreement Management	Life of agreement	7 years
ITS-0620	Shared Services: Shared Assets	Disposition of asset	2 years
ITS-0700	UOITnet User Data		Indefinite
ITS-0800	Termination / Off-boarding	Termination of employment	7 years
ITS-0900	Hardware and Software: Reporting	End of academic year	5 years

## ITS-0100 Learning Tools: Agreements

<b>Scope Notes</b>	Consists of executed agreements with students for distribution of Learning Tools, including Schedules for sign out, extension, transfer and return of Learning Tools. Agreements are accepted through an online transaction and schedules are signed by students during Learning Tool distribution.
<b>Retention Trigger</b>	End of agreement and all fees paid
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Students
<b>Records System</b>	Heat Paper
<b>Citations</b>	<i>Limitations Act, 2002, SO 2002, c 24, Sch B s. 4</i>
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Student Learning Tool Agreement (SIS) Student Learning Tool Agreement (Paper, minors) Learning Tool Sign-out (Schedule A) Learning Tool Return (Schedule B) Learning Tool Transfer Agreement (Schedule C) [also part of Asset disposition] Learning Tool Extension (Schedule D)
<b>Retention Rationale</b>	Based on basic limitation period in Limitations Act.
<b>Personal Information</b>	Yes – S5 Mobile Learning Program
<b>Vital Record</b>	No
<b>Protection</b>	High

## ITS-0200 Asset Management: Inventory

<b>Scope Notes</b>	
Consists of inventory of hardware assets distributed to students, faculty and staff. For each asset, a record is kept of assigned configuration, software, individual it is assigned to and purchase orders.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	IT Services
<b>Records System</b>	HEAT
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Database entry in HEAT: Purchase order, configuration, serial number, asset tag.
<b>Retention Rationale</b>	No operational need after disposition of asset.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## ITS-0210 Asset Management: Current Configuration

<b>Scope Notes</b>	
Consists of a record of the current configuration settings, installed software, users of each asset, along with a snapshot of configuration and assignment when it was first distributed. Created from combined data drawn from Heat and LANDesk.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Heat and LANDesk
<b>Records System</b>	Hair (Students) Roller (Faculty and Staff)
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Destroy
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	No operational need after disposition of asset.
<b>Personal Information</b>	Yes – S5 Mobile Learning Program.
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## ITS-0220 Asset Management: Repair and Service

<b>Scope Notes</b>	
Consists of records related to repair and service requests from students, faculty and staff. Includes requests for assistance with hardware and software, logs of actions, correspondence with users.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	1 years
<b>Responsible Unit(s)</b>	IT Services Durham College IT
<b>Source</b>	Submitted by users
<b>Records System</b>	HEAT Email
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Logs in Heat Email correspondence
<b>Retention Rationale</b>	Intended to provide a complete history of repair and service requests related to a particular asset until its disposition. There is a parallel obligation - much larger in size - on the part of Durham College IT Shared Services, to whom most of our IT Services are outsourced.
<b>Personal Information</b>	Yes – New PIB – Includes Student #
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## ITS-0230 Asset Management: Disposition

<b>Scope Notes</b>	
Consists of records relating to the decommissioning of IT assets through sale to students, faculty, staff or another organization. Includes receipts, agreements, correspondence relating to the sale.	
<b>Retention Trigger</b>	End of fiscal year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	IT Services Finance
<b>Source</b>	IT Services, purchaser
<b>Records System</b>	Banner, Paper
<b>Citations</b>	The Income Tax Act, R.S.C. 1985, c.1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Receipts Transaction and payment processing Records of setting up sales Learning Tool Transfer Agreement (Schedule C)
<b>Retention Rationale</b>	The Income Tax Act requires that books and records be kept until the expiration of six years from the end of the last taxation year.
<b>Personal Information</b>	Yes – New PIB – financial transaction / Student #
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## ITS-0300 Software Management: Needs Assessment

<b>Scope Notes</b>	
Consists of records relating to the identification of software needs, and how those needs can be met. These needs form the basis for budgeting and software acquisition for IT Services. Includes software requests from Faculties to support teaching and student course work on an annual cycle.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	Trigger + 4 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties, IT Services
<b>Records System</b>	Paper, email
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Requests from faculties Needs assessments
<b>Retention Rationale</b>	Based on operational need. These records will support future acquisitions.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## ITS-0310 Software Management: Budget

<b>Scope Notes</b>	
IT Services creates an annual budget that takes into account the Faculties' requests, software needs and any necessary new acquisitions. Includes completed budget, cost analyses, comparisons of options, presentations.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	Trigger + 4 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	IT Services
<b>Records System</b>	Paper, email
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Presentation Budget Cost and capability comparisons
<b>Retention Rationale</b>	Based on operational need. These records will support future acquisitions.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## ITS-0320 Software Management: Acquisition

<b>Scope Notes</b>	
Consists of records relating to the acquisition of software from vendors to meet the needs of Faculties. Includes negotiation of agreements, vendor materials, and comparisons of options.	
For formal procurement records related to software acquisition, see: FIN-0300 Procurement	
For final executed agreements, see: CMP-0300 Contracts and Agreements	
<b>Retention Trigger</b>	End of contract
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Communication with vendors Vendor materials Draft agreements
<b>Retention Rationale</b>	Based on operational need. These records will support future acquisitions.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## ITS-0330 Software Management: Deployment

<b>Scope Notes</b>	
Consists of records relating to the provision of software and assignment to user groups. Includes spreadsheets for each user group, listing which hardware is assigned, which software to include in images for each user type and records of the creation of images and setup of hardware.	
See also: FIN-0300 Procurement	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties
<b>Records System</b>	LANDesk (SW Diplomat system) Sharepoint Network Shared Drives
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Spreadsheets Master images
<b>Retention Rationale</b>	Based on operational need. May be needed when dealing with students from a few years back.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## ITS-0340 Software Management: License Compliance

<b>Scope Notes</b>	
Consists of records relating to compliance with terms of software license agreements. Includes reporting submitted to vendors regarding user numbers, signed terms of use agreements from users, notifications of breach of license from vendors, correspondence and investigations relating to possible license breaches.	
<b>Retention Trigger</b>	End of contract
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Vendors, IT Services, Users
<b>Records System</b>	LANDesk (SW Diplomat system) SharePoint Network Shared Drives
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Destroy
<b>Records Arising from Activity</b>	Spreadsheets
<b>Retention Rationale</b>	Retention hold will apply if litigation seems likely.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	High

## ITS-0400 IT Project Management

<b>Scope Notes</b>	
Consists of project management records including project charter, budget, plans and schedules, communications materials for change management, progress reporting and draft or working versions of deliverables.	
For completed deliverables, see: ITS-0420 IT Project management: Deliverables	
<b>Retention Trigger</b>	End of project and system normalized
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Project team members
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Destroy
<b>Records Arising from Activity</b>	Project Charter Budget Plans Schedules Communication materials for change management Progress reporting
<b>Retention Rationale</b>	Based on operational need.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## ITS-0410 IT Project Management: Intake and Reporting (Durham College)

<b>Scope Notes</b>	
<p>Consists of records of project work conducted by Durham College under the Shared Services Agreement. Includes completed intake forms, budget, correspondence and progress reporting.</p> <p>There will also be a corresponding, more complete set of project records in Durham College IT representing the work undertaken as part of the project.</p> <p>For completed deliverables, see: ITS-0420 IT Project management: Deliverables</p>	
<b>Retention Trigger</b>	End of project and system normalized
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	DC-IT
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Destroy
<b>Records Arising from Activity</b>	Intake forms Budget Correspondence Progress reporting
<b>Retention Rationale</b>	To allow tracking and follow-up on projects submitted to Durham College.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## ITS-0420 IT Project Deliverables: System Specifications and Code

<b>Scope Notes</b>	
Consists of project deliverables necessary for the ongoing operation of systems and databases. Includes source code that may be modified for upgrades or bug fixes, system architecture, security schemas, designs and specifications required for maintenance and upgrades.	
<b>Retention Trigger</b>	System decommissioned and data migrated
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Destroy
<b>Records Arising from Activity</b>	Source Code System architecture Security schemas Designs and specifications
<b>Retention Rationale</b>	Needed for maintenance and upgrades to systems on an ongoing basis. Match DC retention period: INF10 Information Technology Systems Management
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## ITS-0430 Data Migration: Integrity Checking

<b>Scope Notes</b>	
Consists of project close-out report from large-scale data migration projects that verifies that the steps taken were sufficient to ensure data integrity. These records are used to demonstrate the integrity of data that has been migrated to another database or system.	
Excludes backup and migration of individual device data (e.g. individual laptops)	
<b>Retention Trigger</b>	Migrated data is still in use
<b>Retention</b>	Trigger + 1
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Project close-out report Any other required documentation
<b>Retention Rationale</b>	Intended to prove the successful migration of data and demonstrate the continued integrity of data through system migrations.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## ITS-0500 User Access: Requests

<b>Scope Notes</b>	
Consists of requests for user access modifications submitted by authorized personnel.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties, departments or students.
<b>Records System</b>	Heat
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Request form for Banner logins/forms/Requests Email requests
<b>Retention Rationale</b>	Based on operational need and design of record system.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	High

## ITS-0510 User Access: Audit

<b>Scope Notes</b>	
Consists of records of comparison of actual assigned access credentials within systems to requests submitted by users and records of proper credentials for users. Includes reports of audit results and actions taken to correct any discrepancies.	
<b>Retention Trigger</b>	5 years
<b>Retention</b>	End of calendar year
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Reports of user access from systems User access requests Audit results
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	High

## ITS-0600 Shared Services: Reporting

<b>Scope Notes</b>	
Consists of records of reports mandated by the Shared Services agreement with Durham College. Includes load and performance data reporting, response times and other reports.	
<b>Retention Trigger</b>	Life of agreement
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Reports and correspondence with DC-IT
<b>Retention Rationale</b>	Will allow the evaluation of actual performance vs terms of agreement.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## ITS-0610 Shared Services: Agreement Management

<b>Scope Notes</b>	
Consists of records of development and maintenance of Shared Services relationship with Durham College IT. Includes work description documents, formal communications, meeting materials and minutes, significant agreement drafts and evaluations.	
<b>Retention Trigger</b>	Life of agreement
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Work Description Documents Communications with DC-IT
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	High

## ITS-0620 Shared Services: Shared Assets

<b>Scope Notes</b>	
Consists of records of IT hardware assets purchased by Durham College using UOIT capital funds and annual budget submissions relating to these purchases. Includes budget submissions, configuration purchase orders and records of disposition.	
<b>Retention Trigger</b>	Disposition of asset
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	Faculties
<b>Records System</b>	Paper, email
<b>Citations</b>	
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Match retention of ITS-0200 Asset Management: Inventory
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	

## ITS-0700 UOITnet User Data

<b>Scope Notes</b>	
Consists of student user data in UOIT's Google Apps for education systems.	
<b>Retention Trigger</b>	
<b>Retention</b>	Indefinite
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	-
<b>Records System</b>	Paper, email
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Data is hosted by Google, which manages retention, disposition and protection
<b>Personal Information</b>	Yes – new PIB
<b>Vital Record</b>	-
<b>Protection</b>	-



## ITS-0800 Hardware and Software: Reporting

<b>Scope Notes</b>	
Consists of statistical reporting on topics relating to asset and software management including types and frequency of service requests by hardware type, software used by various groups, etc. Reports are created from data drawn from LANDesk and Heat.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	IT Services
<b>Source</b>	-
<b>Records System</b>	ROLLER \$ HAIR
<b>Citations</b>	-
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Software usage reports Repair/service request statistics Other usage data
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## Local Administration

Consists of general records that may be applicable to all units. This section should serve as general guidelines if no other records series apply. If specific operational or compliance needs apply to certain records, those should be documented in a functional records series.

Code	Record Series Name	Trigger	Retention Period
LAD-0100	Administrative Committees	Year end	5 years
LAD-0200	Unit Management	Year end	5 years
LAD-0300	Office operations	Year end	3 years
LAD-0400	Project Management	Completion of project	Trigger + 5 years
LAD-0500	Unit Planning	Year end	5 years
LAD-0600	Unit Review or Audit	Year end	Trigger + 7 years
LAD-0700	Reports & Statistics	Year end	Trigger + 7 years

## LAD-0100 Administrative Committees

<b>Scope Notes</b>	
Consists of records of standing and ad-hoc administrative committees established by University Units. Includes agendas, meeting minutes, packages and information about membership.	
Excludes: Board of Governors and all Committees, Academic Council and all Committees	
<b>Retention Trigger</b>	Completion of project
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Originating Unit If multiple units comprise the Committee, units must agree on the Responsible Unit for retention
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	-
<b>Record Authority</b>	Originating VP
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	Health and Safety Committee Job Evaluation Committee
<b>Retention Rationale:</b>	Some committees may have particular legislation mandating their creation and retention of records. This needs to be considered and may require a separate records series if 7 years is not appropriate.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## LAD-0200 Unit Management

<b>Scope Notes</b>	
Consists of records that document and support the functions of a particular unit. Includes correspondence relating to particular issues, memoranda, organizational charts, delegation of authority, forms, transaction records, briefing and issue notes that will guide program development.	
<b>Retention Trigger</b>	
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	-
<b>Record Authority</b>	Originating VP
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Authorization forms Organization charts Work allocation Delegation of authority
<b>Retention Rationale:</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## LAD-0300 Office Operations

<b>Scope Notes</b>	
Consist of records used for office support services including mailing and distribution lists, general correspondence, completed notes and checklists, local space allocation, phone logs, staff meetings, travel arrangements for employees, visitors or other general administrative matters.	
<b>Retention Trigger</b>	Year end
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	-
<b>Record Authority</b>	Originating VP
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	General Correspondence General Notes and Checklists Office Visit Logs Phone Logs Thank you Letters Documents operation of office support services. Records may include Mailing and distribution lists Travel arrangements for employees Staff meetings General administrative matters
<b>Retention Rationale:</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection Requirements</b>	Low

## LAD-0400 Project Management

<b>Scope Notes</b>	
Records of projects are handled together until the completion of a project. Includes project startup documentation, progress reporting, deliverables, training and communication plans.	
If project deliverables are part of another record series with longer retention, they must be retained as per that retention period, not the Project Management retention period.	
<b>Retention Trigger</b>	End of Project
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	-
<b>Record Authority</b>	Originating VP
<b>Disposition</b>	Transfer to appropriate record series if applicable Secure destruction
<b>Records Arising from Activity</b>	Project charter Project budget Project financial records (transactions, etc) Progress reports Deliverables Process and procedure changes Documentation of equipment Training and communication plans
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection Requirements</b>	Low

## LAD-0500 Unit Planning

<b>Scope Notes</b>	
Consists of records of a unit's role in developing plans for the unit's functions. Records may include statements of goals and objectives, proposals, surveys, working papers, reports, plans and supporting documentation.	
<b>Retention Trigger</b>	
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	Originating VP
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Consists of records relating to unit's role in development of 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.
<b>Retention Rationale</b>	
<b>Personal Information</b>	
<b>Vital Record</b>	
<b>Protection Requirements</b>	Medium

## LAD-0600 Unit Review or Audit

<b>Scope Notes</b>	
Consist of records relating to review of an academic or university program or unit. These may be conducted internally or by a third party. May include reports, responses, and collected support materials and correspondence.	
<b>Retention Trigger</b>	Year end
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	Originating VP
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Consists of records relating to internal or external reviews of an academic program (including accreditation of professional programs), university program, service or operational unit. Records may include background support materials, reports, response documentation and related correspondence.
<b>Retention Rationale</b>	
<b>Personal Information</b>	
<b>Vital Record</b>	
<b>Protection Requirements</b>	Medium



## LAD-0700 Reports and Statistics

<b>Scope Notes</b>	
Consist of significant statistical and other reports relating to unit activities used for planning and forecasting.	
<b>Retention Trigger</b>	Year end
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	-
<b>Record Authority</b>	Originating VP
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection Requirements</b>	Medium

## Research

Includes records related to the administration of research, including partnerships and collaboration applications and proposals, agreements, and projects. Also includes records required for compliance with contractual and grant obligations, and research materials and data that have been licensed to the University by IP holders.

Code	Record Series Name	Trigger	Retention Period
RES-0100	Partnerships	End of partnership	Trigger + 7 years
RES-0300	Proposals and grant applications: Non-funded	Decision	Trigger + 3 years
RES-0400	Proposals and grant applications: Funded	Project end date	Trigger + 7 years
RES-0500	Administration to file	Project end date	Trigger + 7 years
RES-0600	Research Ethics Board: Meetings and Decisions	End of academic year	10 years
RES-0610	Research Ethics Board: Membership	End of academic year	10 years
RES-0700	Research Ethics Board: Review and Approval	End of REB oversight of project	Trigger + 7 years
RES-0710	Research Ethics Board: Investigations and Adverse Events	End of REB oversight of project	Trigger + 7 years
RES-0800	Animal Care Committee: Meetings and Decisions	End of academic year	10 years
RES-0810	Animal Care Committee: Membership	End of academic year	10 years
RES-0900	Animal Care Committee: Review and Approval	End of ACC oversight of project	Trigger + 7 years
RES-0910	Animal Care Committee: Investigations and Adverse Events	End of ACC oversight of project	Trigger + 7 years
RES-1000	Intellectual Property: Protection	End of useful life of IP protection	Trigger + 7 years
RES-1010	Intellectual Property: Commercialization	End of commercialization efforts	Trigger + 7 years
RES-1100	Patent application: Successful	Life of patent	Trigger + 7 years
RES-1110	Patent application: Dropped	Patent abandoned	Trigger + 7 years
RES-1200	Entrepreneurship: Program Metrics & Reporting	End of academic year	Trigger + 7 years
RES-1210	Entrepreneurship: Client Record	End of funding agreements	Trigger + 3 years
RES-1300	Entrepreneurship: Competitions and Awards	Last action	Trigger + 3 years
RES-1400	Entrepreneurship: OCEA Management Committee	End of OCEA agreement	Trigger + 7 years

## RES-0100 Partnerships

<b>Scope Notes</b>	
Consists of records related to establishing and managing partnerships with industry and other institutions. Includes formal or significant communications, significant drafts of agreements, terms of agreements, and progress reporting required under the terms of the agreements.	
For executed agreements related to partnerships, see: CMP-0300 Contracts and Agreements	
<b>Retention Trigger</b>	End of partnership
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Retain for 7 years after conclusion of partnership to capture any financial or tax-related implications.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-0200 Metrics and Reports

<b>Scope Notes</b>	
Consists of scheduled reports on the activities of the Office of Research Services that have long term utility for program planning or progress reporting.	
<b>Retention Trigger</b>	End of calendar year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	Sharepoint
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Retain for 7 years after conclusion of partnership to capture any financial or tax-related implications.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-0300 Proposals and Grant applications: Non-funded

<b>Scope Notes</b>	
<p>This record series is for research proposals and grant applications that have been denied funding.</p> <p>Consists of research proposals and grant applications that have been submitted to internal and external funding sources for consideration. Includes completed research grant authorization; submitted grant application package with grant application, budget, budget justification, CV and appendices; and letters documenting the decision of the funding body.</p> <p>For accepted grant applications, see RES-0400 Proposals and Grant applications: Funded.</p> <p>For working papers related to developing research proposals and grant applications, see RES-0200 Proposals and grant applications: Development.</p>	
<b>Retention Trigger</b>	Decision made
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Researcher Funding Body
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Grant application Research proposal Budget Budget justification CV of Primary investigator Appendices Letters documenting the decision of the funding body Research grant approval form
<b>Retention Rationale</b>	Non-funded grant applications may be reviewed to strengthen future applications.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-0400 Proposals and Grant applications: Funded

<b>Scope Notes</b>	
<p>This record series is for research proposals and grant applications that have been accepted by the funding body.</p> <p>Consists of research proposals and grant applications that have been submitted to internal and external funding sources for consideration. Includes completed research grant authorization; submitted grant application package with grant application, budget, budget justification, CV and appendices; and letters documenting the decision of the funding body.</p> <p>For non-funded grant applications, see RES-0300 Proposals and Grant applications: non-funded.</p> <p>For working papers related to developing research proposals and grant applications, see RES-0200 Proposal and grant applications: Development.</p>	
<b>Retention Trigger</b>	Project end date
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Researcher Funding Body
<b>Records System</b>	
<b>Citations</b>	Agreement on the Administration of Agency Grants and Awards by Research Institutions 3.3
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Grant application Research proposal Budget Budget justification CV of Primary investigator Appendices Grant funding authorization Letters documenting the decision of the funding body
<b>Retention Rationale</b>	Successful grant applications should be kept for the life of the research project plus seven years. Applications may include financial information and representations about the research that may provide a basis for evaluation of whether the terms of the grant have been satisfied.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## RES-0500 Administration to File

<b>Scope Notes</b>	
Consists of records related to the administration of research projects and compliance with funding terms, including research reports, account reconciliations, financial reports, audit reports and related correspondence, extensions, research and medical leaves, change in project status, change in certification requirements, transfer of grant funds. Excludes records of financial transactions and procurement.	
For financial transactions, see FIN-0200 Accounts Payable.	
For procurement records, see FIN-0300 Procurement.	
<b>Retention Trigger</b>	Project end date
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Researcher Funding Body
<b>Records System</b>	
<b>Citations</b>	Agreement on the Administration of Agency Grants and Awards by Research Institutions 3.3
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	These records are required to prove compliance with terms of the Agreement and may be needed for the full term of the project and up to 7 years after its conclusion.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## RES-0600 Research Ethics Board: Meetings and Decisions

<b>Scope Notes</b>	
Consists of minutes of REB meetings and attendance, including clear documentation of REB's decisions, any dissents and the reasons for them. Also includes documentary basis for decision (documents or progress reports received and reviewed), the plan for continuing ethics review and timelines, reasons for decisions, and any conditions or limitations attached to the approval.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	Research Ethics Policy TCPS2 Article 6.17
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Archival review
<b>Records Arising from Activity</b>	Formal letter documenting approval or denial
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium



## RES-0610 Research Ethics Board: Membership

<b>Scope Notes</b>	
Consists of records documenting the membership of the Research Ethics Board. Includes the identities and qualifications of the REB membership: copies of CVs, participation in relevant research ethics training.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	Research Ethics Policy TCPS2 Article 6.17
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	
<b>Records Arising from Activity</b>	CV's Ethics training records
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-0700 Research Ethics Board: Review and Approval

<b>Scope Notes</b>	
Consists of records relating to the evaluation of a specific research project involving human participants by the Research Ethics Board and any ongoing review including change requests, study renewals and research project completion forms.	
Includes clear documentation of all decisions, plan for continuing ethics review and timelines, reasons for decisions, and any dissents. Also includes any documents reviewed: submitted forms or application packages for ethics approval requests, certificates of approval from other institutions, proposed measures for safeguarding personal information.	
<b>Retention Trigger</b>	End of REB oversight of project and completion of project
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	Romeo, paper
<b>Citations</b>	Research Ethics Policy Agreement on the Administration of Agency Grants and Awards by Research Institutions TCPS2 Article 6.17
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction.
<b>Records Arising from Activity</b>	REB Ethics Application Form Course-based Research Request Form Secondary Use of Data Request Form completed application package (application and consent/invitation letter, questionnaire, verbal interview script, survey, etc.
<b>Retention Rationale</b>	
<b>Personal Information</b>	Needed to demonstrate compliance while research is ongoing. 7 year retention period would align with administrative and funding compliance requirements. No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## RES-0710 Research Ethics Board: Investigations and Adverse Events

<b>Scope Notes</b>	
Consists of records relating to participant complaints, adverse event reporting and other incident reports. Includes investigation of these matters and any documentation of decisions including suspension of research or protocol changes.	
<b>Retention Trigger</b>	End of REB oversight of a project and completion of project
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	Romeo, paper
<b>Citations</b>	Research Ethics Policy Agreement on the Administration of Agency Grants and Awards by Research Institutions TCPS2 Article 6.17
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction.
<b>Records Arising from Activity</b>	Formal Letter documenting outcome of Review Adverse/Unanticipated Event Report Form Change Request and Study Renewal Form Research Project Completion Form
<b>Retention Rationale</b>	Needed to demonstrate compliance while research is ongoing. 7 year retention period would align with administrative and funding compliance requirements.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## RES-0800 Animal Care Committee: Meetings and Decisions

<b>Scope Notes</b>	
Consists of minutes of Animal Care Committee meetings, including clear documentation of ACC's decisions, any dissents and the reasons for them. Also includes documentary basis for decision (documents or progress reports received and reviewed), the plan for continuing ethics review and timelines, reasons for decisions, and any conditions or limitations attached to the approval.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Formal letter documenting approval or denial
<b>Retention Rationale</b>	Align with practices for REB retention
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium


## RES-0810 Animal Care Committee: Membership

<b>Scope Notes</b>	
Consists of records documenting the membership of the Animal Care Committee. Includes the identities and qualifications of the ACC membership: copies of CVs, participation in relevant research ethics training.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	Agreement on the Administration of Agency Grants and Awards by Research Institutions
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Align with practices for REB retention.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-0900 Animal Care Committee: Review and Approval

<b>Scope Notes</b>	
Consists of records relating to the evaluation of a specific research project involving animal subjects by the Animal Care Committee. And any amendment requests, renewal requests, and post-approval monitoring reports.	
Includes clear documentation of all decisions, plan for continuing review and timelines, reasons for decisions, and any dissents. Also includes any documents reviewed: submitted animal use protocol forms or application packages for approval requests, certificates of approval from other institutions, proposed measures for safeguarding personal information.	
<b>Retention Trigger</b>	End of ACC oversight of project
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	Romeo, paper
<b>Citations</b>	Policy on the care and use of animals in research and teaching Agreement on the Administration of Agency Grants and Awards by Research Institutions
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction.
<b>Records Arising from Activity</b>	Amendment Request Form Animal Care Study Completion Form Animal Use Protocol Form Annual Renewal Request Form Data/Tissue Transfer Form Fish Competency Form Frog Competency Form Incident Report Form Post Approval Monitoring Checklist Pedagogical Merit Peer Review Form Wildlife Field Studies Form
<b>Retention Rationale</b>	Need to demonstrate compliance while research is ongoing. 7 year retention period would align with administrative and funding compliance requirements.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## RES-0910 Animal Care Committee: Investigations and Adverse Events

<b>Scope Notes</b>	
Consists of records relating to research projects reviewed and approved by the Animal Care Committee and any complaints, issues of non-compliance or investigations. Includes records documenting non-compliance including written notification of non-compliance, responses from researchers, plan for addressing non-compliance and any follow up.	
<b>Retention Trigger</b>	End of ACC oversight of a project
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	
<b>Records System</b>	Romeo, paper
<b>Citations</b>	Policy on the care and use of animals in research and teaching UOIT Post Approval Monitoring Program Agreement on the Administration of Agency Grants and Awards by Research Institutions
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction.
<b>Records Arising from Activity</b>	Amendment Request Form Animal Care Study Completion Form Animal Use Protocol Form Annual Renewal Request Form Data/Tissue Transfer Form Fish Competency Form Frog Competency Form Incident Report Form Post Approval Monitoring Checklist Pedagogical Merit Peer Review Form Wildlife Field Studies Form
<b>Retention Rationale</b>	Need to demonstrate compliance while research is ongoing. 7 year retention period would align with administrative and funding compliance requirements. 
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## RES-1000 Intellectual Property: Protection

<b>Scope Notes</b>	
<p>Consists of records related to protections for Intellectual Property other than patents, including copyright, trademark and trade secrets. May include significant correspondence, invention disclosure, technology evaluation, IP strategy, assignment document, correspondence with IP lawyer, any applications for IP protection and decisions.</p> <p>For records related to patent applications, see RES-0910 Patent applications: Successful or RES-0920 Patent applications: Dropped.</p> <p>Final executed agreements created by this process are subject to: CMP-0300 Legal: Contracts and Agreements</p>	
<b>Retention Trigger</b>	End of useful life of IP protection
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Inventor IP Lawyer Patent Office
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## RES-1010 Intellectual Property: Commercialization

<b>Scope Notes</b>	
Consists of records documenting efforts to commercialize technologies developed in research conducted at UOIT. Includes tracking sheet, significant correspondence, significant drafts of agreements (including non-disclosure, confidentiality, memorandum of understanding, option or license agreements), and tracking of any revenue resulting from commercialization.	
Final executed agreements created by this process are subject to: CMP-0300 Legal: Contracts and Agreements	
<b>Retention Trigger</b>	End of commercialization efforts
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	3 <sup>rd</sup> party
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Agreement drafts
<b>Retention Rationale</b>	Records documenting commercialization efforts can inform decisions regarding whether to pursue patent applications. Commercialization efforts may result in financial transaction which must be retained for at least 7 years.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-1020 Patent Application: Successful

<b>Scope Notes</b>	
<p>Consists of records related to patent applications for inventions resulting from research conducted at UOIT. The IP evaluation process considers rights, prior art, stage of development, industry contacts and commercialization potential to score technologies and make a decision whether to pursue a patent. This records series is for technologies that result in a successful patent application.</p> <p>Includes invention disclosure, technology evaluation, IP strategy, assignment document, correspondence with IP lawyer, patent application, major changes to patent, copies of documentation from Patent Office, patent and final decisions.</p> <p>Final executed agreements created by this process are subject to: CMP-0300 Legal: Contracts and Agreements</p>	
<b>Retention Trigger</b>	Life of patent
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Inventor IP Lawyer Patent Office
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Invention disclosure Technology Evaluation IP Strategy Assignment document Correspondence with IP lawyer 2nd Technology Evaluation (where applicable) Patent application Major changes to patent Decision Documentation from Patent Office Patent
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## RES-1030 Patent Application: Dropped

<b>Scope Notes</b>	
<p>Consists of records related to patent applications for inventions resulting from research conducted at UOIT. The IP evaluation process considers rights, prior art, stage of development, industry contacts and commercialization potential to score technologies and make a decision whether to pursue a patent. This records series is for technologies that do not result in a patent, whether due to a decision not to proceed to applying for a patent, or the determination by the Patent Office that the technology is not patentable.</p> <p>Includes invention disclosure, technology evaluation, IP strategy, assignment document correspondence with IP lawyer, patent application, major changes to patent and final decisions.</p> <p>Any documentation required for other IP protection should be transferred to RES-0900 Intellectual Property: Protection when the decision not to pursue the patent is made.</p> <p>Final executed agreements created by this process are subject to: CMP-0300 Legal: Contracts and Agreements.</p>	
<b>Retention Trigger</b>	Decision not to continue to pursue patent
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	Inventor IP Lawyer Patent Office
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Invention disclosure Technology Evaluation IP Strategy Assignment Document Correspondence with IP lawyer 2nd Technology Evaluation (where applicable) Patent application Major changes to patent Decision
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-1200 Entrepreneurship: Program Metrics & Reporting

<b>Scope Notes</b>	
Consists of reporting on on-campus entrepreneurship activities required by the terms of grant agreements. Includes quarterly and annual reports on the number of events, students attending, number of clients, info about client activities and performance indicators of firms who have received services.	
<b>Retention Trigger</b>	End of Academic Year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	3 <sup>rd</sup> party
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Quarterly and annual reports
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-1210 Entrepreneurship: Client Record

<b>Scope Notes</b>	
<p>Consists of records related to client businesses of UOIT's entrepreneurship programs, including events, Softlandings and Incubator programs. Information is collected about the number of students on team, sales, industry, mentorship hours, investment received and referrals to other innovation programs. After graduation, information is required on employment levels, operating/sales revenues and follow-on investment funding.</p> <p>Excludes RES-1100 Program Metrics and Reporting</p> <p>Excludes any agreements between (i.e. incubator agreements and all schedules). See: CMP-0300 Contracts and Agreements (Simple).</p>	
<b>Retention Trigger</b>	End of funding agreements
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	3 <sup>rd</sup> party
<b>Records System</b>	
<b>Citations</b>	On Campus Entrepreneurship Activities program (OCEA) Agreement Canada Accelerated and Incubator Program (CAIP) Agreement
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	Low
<b>Protection</b>	Medium

## RES-1300 Entrepreneurship: Competitions and Awards

<b>Scope Notes</b>	
Consists of records related to the evaluation and selection of entrepreneurship awards, including firefly grant and incubator grants. Includes application for awards, business plan, criteria for decisions, and basis for decisions	
<b>Retention Trigger</b>	Last action
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	3 <sup>rd</sup> party
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Agreement drafts
<b>Retention Rationale</b>	Intended to create consistency of evaluation criteria and standards between years.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## RES-1400 Entrepreneurship: OCEA Management Committee

<b>Scope Notes</b>	
Grants involve multiple institutional partners and UOIT leads the Management Committee for the OCEA grant. Consists of records documenting meetings including agendas, minutes and supporting documentation as well as significant correspondence.	
<b>Retention Trigger</b>	End of OCEA Agreement
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Research Services
<b>Source</b>	3 <sup>rd</sup> party
<b>Records System</b>	
<b>Citations</b>	OCEA Agreement
<b>Record Authority</b>	VP Research, Innovation and International
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Agendas Minutes Supporting Documentation.
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## Students Function

Includes records related to degree granting and to student academic performance including applications, admissions, discipline, grades, transcripts and communications. Also included are records related to support services for students including accommodations, advising, employment and careers, exchange and international students, financial assistance, internships and orientation.

Code	Record Series Name	Trigger	Retention Period
STU-0100	Admissions: Applicants (Undergraduate)	End of admit term	Trigger + 1 year
STU-0110	Admissions: Applicants (Graduate)	End of admit term	Trigger + 1 year
STU-0200	Student Academic Records (Undergraduate)		Permanent
STU-0210	Student Academic Records (Graduate)		Permanent
STU-0300	Registration: Changes and Requests (Undergraduate)	Student graduates or stops attending UOIT	Trigger + 2 years
STU-0310	Registration: Changes and Requests (Graduate)	Student graduates or stops attending UOIT	Trigger + 5 years
STU-0320	Faculty Student Files: Accredited Programs (Nursing, Med Lab)	Student graduates or stops attending UOIT	Trigger + 7 years
STU-0330	Faculty Student Files: Accredited Programs (Forensic Science)	Student graduates or no longer attends	Trigger + 5 years
STU-0340	Faculty Student Files: Non-accredited programs (unique items not in RO student file)	Student graduates or no longer attends	Trigger + 2 years
STU-0400	Academic Advising (Undergraduate)	Student graduates or stops attending UOIT	Trigger + 2 years
STU-0410	Academic Advising (Graduate)	Student graduates or stops attending UOIT	Trigger + 2 years
STU-0500	Graduation List		Permanent
STU-0510	Graduation Authorization	End of academic year	5 years
STU-0600	Financial Aid and Awards: Distribution		Permanent
STU-0600	Financial Aid and Awards: OSAP documentation	End of fiscal year	3 years
STU-0620	Financial Aid and Awards: Processing	End of fiscal year	7 years
STU-0700	Awards: Establishment		Permanent
STU-0710	Awards: Decision Case Files (Undergraduate)	Decision made	Trigger + 1 year
STU-0720	Awards: Decision Case Files (Graduate)	Decision made	Trigger + 1 year
STU-0800	Audit Reports and Institution Responses	End of academic year	Permanent
STU-0900	Reports	End of academic year	7 years
STU-1000	Graduate Thesis: Administration	Thesis accepted	Trigger + 2 years
STU-1010	Graduate Thesis: Thesis		Permanent/Archival



STU-1100	Academic Misconduct: Results	Decision rendered	Trigger + 7 years
STU-1110	Academic Misconduct: Case Files	Decision rendered	Trigger + 7 years
STU-1120	Academic Appeals: Case Files	Decision rendered	Trigger + 7 years
STU-1130	Academic Misconduct: Suspensions or Transcript Notations	Successful appeal to have the notation expunged	Trigger
STU-1140	Academic Appeals Decisions		Permanent
STU-1150	Academic Appeals Decisions (Public)		Permanent
STU-1200	Grievance or Complaint	Last action	Trigger + 7 years
STU-1300	Work Study	End of academic year	Trigger + 7 years
STU-1500	Student Life: Program Management	End of academic year	Trigger + 5 years
STU-1600	Student Life: Attendance and Registration	End of academic year	Trigger + 7 years
STU-1700	Student Life: Student files	Student graduates	Trigger + 3 years
STU-1800	Student Life: Workshops and Training	End of academic year	Trigger + 7 years
STU-1900	Accessibility Services: Case Files	Last contact	Trigger + 10 years
STU-2000	Counselling and Health Records	For students over 18: Last contact For students under 18: 18 <sup>th</sup> birthday	Trigger + 10 years
STU-2100	Student Life: Reports and Statistics	End of academic year	Trigger + 10 years
STU-2200	Involvement Record	Student graduates	Trigger + 10 years

## STU-0100 Admissions: Applicants (Undergraduate)

<b>Scope Notes</b>	
Consists of records of the admission process including all materials required to make a decision on enrollment. This includes admission applications, correspondence, letters of recommendations, test scores and transcripts. For successful applicants, an acceptance letter will be generated.	
Admissions records of enrolled students are transferred to STU-0300 Records: Registration, Changes and requests.	
<b>Retention Trigger</b>	End of Admit term
<b>Retention</b>	Trigger + 1 year
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	OUAC, Sent by applicants, electronic data exchange
<b>Records System</b>	Paper, Banner, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Non-enrolled: Secure destruction Enrolled: Transfer to STU-0300 Registration: Changes and Requests (Undergraduate)
<b>Records Arising from Activity</b>	Acceptance Letters Admission applications, via OUAC Admission applications, internal Correspondence, general Letters of recommendation English Language Proficiency Test scores (e.g. SAT) Transcripts
<b>Retention Rationale</b>	FIPPA requires any personal information collected to be retained for at least one year following its use.
<b>Personal Information</b>	Yes – Index of PIBs S2 Applicant Database
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## STU-0110 Admissions: Applicants (Graduate)

<b>Scope Notes</b>	
Consists of records of the admission process including all materials required to make a decision on enrollment. This includes admission applications, correspondence, letters of recommendations, test scores, transcripts and decision forms. For successful applicants, an acceptance letter will be generated.	
Admissions records of enrolled students are transferred to STU-0300 Records: Registration, Changes and requests.	
<b>Retention Trigger</b>	End of Admit term
<b>Retention</b>	Trigger + 1 year
<b>Responsible Unit(s)</b>	Graduate Studies Office
<b>Source</b>	OUAC, Sent by applicants, electronic data exchange
<b>Records System</b>	Paper, Banner, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Registrar Dean of Graduate Studies
<b>Disposition</b>	Non-enrolled: Secure destruction Enrolled: Transfer to STU-0310 Registration: Changes and Requests (Graduate)
<b>Records Arising from Activity</b>	College and University transcripts ( Interim and Final) International and Domestic Electronic Applications Special Student Applications English Language Proficiency Recommendation/Reference Letters Proof of Residency for Domestic Copy of diplomas Deferral Request Statement of Academic Intent Resumes Student Visa Miscellaneous (SAAADMS Checklist MISC) Offer Letters Other Letters Applicant Information Release Form Graduate Exchange Application Transcript Release Form Non-Standard Admissions Decision Form
<b>Retention Rationale</b>	FIPPA requires any personal information collected to be retained for at least one year following its use.
<b>Personal Information</b>	Yes – Index of PIBs S2 Applicant Database
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## STU-0200 Student Academic Records (Undergraduate)

<b>Scope Notes</b>	
Consists of records in the Banner Student Information System including the academic record: grades and practicum evaluations, personal information including contact information, changes including course registration and changes, change of program or leaves of absence and a record of academic integrity code violations. Also includes OSAP, scholarship and financial aid distribution records.	
For records documenting why changes are made, see: STU-0300 Registration: Changes and Requests (Undergraduate)	
<b>Retention Trigger</b>	-
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	
<b>Records System</b>	Banner
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Class lists Course Registrations and changes Withdrawal/Cancellation of enrollment records Academic records (including grades, practicum evaluations, etc.) Academic integrity code violation Leave of absence Fee assessments Change of Program
<b>Retention Rationale</b>	The official copy of a student's academic record must be retained permanently.
<b>Personal Information</b>	Yes – Index of PIBs S1 Student Information System
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## STU-0210 Student Academic Records (Graduate)

<b>Scope Notes</b>	
Consists of records in the Banner Student Information System including the academic record: including grades and practicum evaluations, personal information including contact information, changes including course registration and changes, change of program or leaves of absence and a record of academic integrity code violations. Also includes OSAP, scholarship and financial aid distribution records.	
For records documenting why changes are made, see: STU-0320 Registration: Changes and Requests (Graduate)	
<b>Retention Trigger</b>	-
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Faculty of Graduate Studies
<b>Source</b>	
<b>Records System</b>	Banner
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Associate Provost
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Class lists Course Registrations and changes Withdrawal/Cancellation of enrollment records Academic records (including grades, practicum evaluations, etc.) Academic integrity code violation Leave of absence Fee assessments Change of Program
<b>Retention Rationale</b>	The official copy of a student's academic record must be retained permanently.
<b>Personal Information</b>	Yes – Index of PIBs S1 Student Information System
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## STU-0300 Records: Registration, Changes and Requests (Undergraduate)

<b>Scope Notes</b>	Supporting documentation to changes to Student Banner records, including course registration. This documentation consists of forms and other requests submitted to make changes within the Student Banner record including application for graduation, change of grade, course repeat forms, transfer credit requests and evaluations and name change requests.
<b>Retention Trigger</b>	Student graduates
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	Students Faculties
<b>Records System</b>	Paper, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Application for Graduation Change of Grade Correspondence Verification of enrolment requests Transfer Credit Evaluations Course repeat form/approval Letters of Permission Name changes Prerequisite waivers Transcript requests Study permit/Passport information
<b>Retention Rationale</b>	Changes and requests have little value after graduation.
<b>Personal Information</b>	Yes – Index of PIBs S3 Registration and Advising (Undergraduate)
<b>Vital Record</b>	No
<b>Protection</b>	User access control Backup

## STU-0310 Records: Registration, Changes and Requests (Graduate)

<b>Scope Notes</b>	
Supporting documentation to changes to Student Banner records, including course registration. This documentation consists of forms and other requests submitted to make changes within the Student Banner record including application for graduation, change of grade, course repeat forms and name change requests.	
<b>Retention Trigger</b>	Student Graduates
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Faculty of Graduate Studies
<b>Source</b>	Students Faculties
<b>Records System</b>	Paper, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act</i> , RSO 1990, c F.31 s.40 <i>Disposal of Personal Information</i> , RRO 1990, Reg 459
<b>Record Authority</b>	Dean of Graduate Studies
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	<b>Add/Drop</b> <b>Course Substitution</b> <b>Program Withdrawal</b> <b>Dismissal Emails</b> <b>Change of Residency Status</b> <b>Academic Standing Emails</b>  <b>Request for LOA form</b> <b>Request for Transfer Credits</b> <b>Request for Verification of Information Form</b> <b>UG Course Request form</b> <b>Ontario Visiting Graduate Student Form</b> <b>Mobile Learning Opt-In form</b>  Application for Reinstatement Change of Program/Supervisor Request for Program Extension
<b>Retention Rationale</b>	Changes and requests have little value after graduation.
<b>Personal Information</b>	Yes – Index of PIBs S7 Graduate Registration and Advising
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-0320 Records: Accredited Programs (Nursing, MedLab)

<b>Scope Notes</b>	
Consists of student records subject to the requirements of the accreditation body for Nursing or Medical Laboratory Science. Includes evaluations, consent forms, assessments and letters documenting misconduct.	
<b>Retention Trigger</b>	Student graduates or no longer attends
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Faculty of Health Science
<b>Source</b>	
<b>Records System</b>	Paper, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act</i> , RSO 1990, c F.31 s.40 <i>Disposal of Personal Information</i> , RRO 1990, Reg 459
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Evaluations Consent forms Assessments Letters documenting misconduct
<b>Retention Rationale</b>	These records are subject to the requirements of an accrediting body: Canadian Association for Schools of Nursing for nursing and Canadian Medical Association for Med Lab.
<b>Personal Information</b>	Yes – Index of PIBs S3 Registration and Advising (Undergraduate)
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## STU-0330 Faculty Student Files: Accredited Programs (Forensic Science)

<b>Scope Notes</b>	
Consists of student records subject to the requirements of Forensic Science Education Programs Accreditation Commission. Includes evaluations, consent forms, assessments and letters documenting misconduct.	
<b>Retention Trigger</b>	Student Graduates or no longer attends
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Faculty of Science
<b>Source</b>	
<b>Records System</b>	Paper, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act</i> , RSO 1990, c F.31 s.40 <i>Disposal of Personal Information</i> , RRO 1990, Reg 459
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Evaluations Consent forms Assessments Letters documenting misconduct
<b>Retention Rationale</b>	Subject to the requirements of the Forensic Science Education Programs Accreditation Commission, which requires certain documentation on students for 5 years after graduation.
<b>Personal Information</b>	Yes – Index of PIBs S3 Registration and Advising (Undergraduate)
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## STU-0340 Faculty Student Files: Non-Accredited Programs

<b>Scope Notes</b>	Consists of any student records in faculty student files that are not copies of material provided to the Registrar's Office for inclusion in the STU-0300 Registration, Changes and Requests student file, or retained as part of the STU-0400 Academic Advising: Reassessments and Fee Appeal record series.
<b>Retention Trigger</b>	Student graduates or no longer attends
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	
<b>Records System</b>	Paper, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act</i> , RSO 1990, c F.31 s.40 <i>Disposal of Personal Information</i> , RRO 1990, Reg 459
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Evaluations Consent forms Assessments Letters documenting misconduct
<b>Retention Rationale</b>	Match retention period for STU-0310 Registration, Changes and Requests (Undergraduate).
<b>Personal Information</b>	Yes – Index of PIBs S3 Registration and Advising (Undergraduate)
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## STU-0400 Academic Advising (Undergraduate)

<b>Scope Notes</b>	Consists of records related to academic advising. Includes degree audit, fee and grade reassessments and appeals, and official correspondence related to academic progress.
<b>Retention Trigger</b>	Student graduates or no longer attends
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	Academic advisors Course instructors Students
<b>Records System</b>	Paper, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act</i> , RSO 1990, c F.31 s.40 <i>Disposal of Personal Information</i> , RRO 1990, Reg 459
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Degree audit Fee appeal supports Grade appeals
<b>Retention Rationale</b>	Match retention period for STU-0310 Registration, Changes and Requests (Undergraduate).
<b>Personal Information</b>	Yes – Index of PIBs S3 Registration and Advising (Undergraduate)
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## STU-0410 Academic Advising (Graduate)

<b>Scope Notes</b>	
Consists of records related to academic advising. Includes degree audit, fee and grade reassessments and appeals, and official correspondence related to academic progress.	
<b>Retention Trigger</b>	Date of graduation or last attendance
<b>Retention</b>	Trigger + 2 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	Academic advisors Course instructors Students
<b>Records System</b>	Paper, Banner Document Management
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act</i> , RSO 1990, c F.31 s.40 <i>Disposal of Personal Information</i> , RRO 1990, Reg 459
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Degree audit Fee appeal supports Grade appeals Final Grade Appeal Tuition/Late Withdrawal Appeal Appeal of Academic Standing
<b>Retention Rationale</b>	Match retention period for STU-0310 Registration, Changes and Requests (Undergraduate).
<b>Personal Information</b>	Yes – Index of PIBs S7 Graduate Registration and Advising
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## STU-0500 Graduation List

<b>Scope Notes</b>	
Official record of graduates retained in Banner.	
<b>Retention Trigger</b>	-
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	
<b>Records System</b>	Banner
<b>Citations</b>	
<b>Record Authority</b>	Registrar
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## STU-0510 Graduation Authorization

<b>Scope Notes</b>	
Graduation authorization consists of a signed list of students authorized to graduate, produced by schools or faculties.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	Faculties
<b>Records System</b>	
<b>Citations</b>	-
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Based on operational and tracking needs.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## STU-0600 Financial Aid and Awards: Distribution

<b>Scope Notes</b>	
A record of the distribution of funds from Financial aid, scholarships bursaries and awards. Includes out of province government loan documentation. Record of distribution of OSAP, scholarship and financial aid is maintained in the Banner student record.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	
<b>Records System</b>	Banner
<b>Citations</b>	
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – Index of PIBs S11 Financial Aid and Awards
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## STU-0610 Financial Aid and Awards: Ontario Student Assistance Program documentation

<b>Scope Notes</b>	
All documentation required to support the distribution of Ontario Student Assistance Program funds to students, including changes, appeals and other supporting documentation.	
Excludes STU-0600 Financial Aid and Awards: Distribution	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	Trigger + 3 years
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	
<b>Records System</b>	Paper, BDM
<b>Citations</b>	OSAP Records Management Guideline: OSAP Record Retention and Archiving
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Paper: Transfer to Ministry Archiving BDM: Secure deletion
<b>Records Arising from Activity</b>	Supporting Documentation Change Documentation Appeal Documentation Distribution Documentation
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – Index of PIBs S11 Financial Aid and Awards
<b>Vital Record</b>	Yes
<b>Protection</b>	High



## STU-0620 Financial Aid and Awards: Processing

<b>Scope Notes</b>	
These records support the distribution of funds as part of scholarships, bursaries or awards. Includes declarations, appeal letters, cheque copies and other supporting documentation.	
<b>Retention Trigger</b>	-
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	Income Tax Act, R.S.C. 1985, c.1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	Registrar
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Declarations Appeal letters Supporting documentation Cheque copies
<b>Retention Rationale</b>	The Income Tax Act requires that books and records be kept until the expiration of six years from the end of the last taxation year.
<b>Personal Information</b>	Yes – Index of PIBs S11 Financial Aid and Awards
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## STU-0700 Awards: Establishment

<b>Scope Notes</b>	
Records relating to the establishment of scholarships, bursaries and Awards. Includes proposals, gift agreements, terms of reference, eligibility criteria.	
<b>Retention Trigger</b>	-
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	Registrar
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Proposals Gift agreements Terms of reference
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## STU-0710 Awards: Decision Case Files (Undergraduate)

<b>Scope Notes</b>	
Contains applications and supporting documentation regarding candidates for awards.	
<b>Retention Trigger</b>	Decision made
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Documentation for award applications/paper applications Processing reports for Award adjudication
<b>Retention Rationale</b>	Freedom of Information and Protection of Privacy Act requires personal information collected to be retained for at least one year after use.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-0720 Awards: Decision Case Files (Graduate)

<b>Scope Notes</b>	
Contains applications and supporting documentation regarding candidates for awards.	
<b>Retention Trigger</b>	Date of Graduation or last attendance
<b>Retention</b>	Trigger + 5 years
<b>Responsible Unit(s)</b>	Dean of Graduate Studies (Graduate Students)
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Dean of Graduate Studies
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	FIPPA requires personal information collected to be retained for at least one year after use.
<b>Personal Information</b>	Yes
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-0800 Audit Reports and Institution Responses

<b>Scope Notes</b>	
Records of any audits or inspections conducted by external parties including auditors or government officials and any institutional responses.	
<b>Retention Trigger</b>	-
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	Registrar
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Planning and historical need.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## STU-0900 Reports

<b>Scope Notes</b>	
Reports that support the programs of the Office of the Registrar including reports on: <ul style="list-style-type: none"> <li>• Withdrawals</li> <li>• Course load monitoring</li> <li>• OSAP deferment</li> <li>• Academic progress review</li> <li>• Scholarship adjudication</li> <li>• Award adjudication</li> </ul>	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	-
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Withdrawals Course Load monitoring OSAP deferment Academic progress review Scholarship adjudication Processing reports for Award adjudication
<b>Retention Rationale</b>	Based on operational and planning needs
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## STU-1000 Graduate Thesis: Administration

<b>Scope Notes</b>	
Contains records related to the submission, evaluation and approval of theses of graduate students. Including the appointment of examining committees and supervisory committees.	
For agreements related to thesis confidentiality, see CMP-0300 Contracts and Agreements.	
<b>Retention Trigger</b>	Thesis approved
<b>Retention</b>	Trigger + 3 years
<b>Responsible Unit(s)</b>	Dean of Graduate Studies
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Dean of Graduate Studies
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Graduate Research Progress Report Request for Program Extension Form 1 - Establishment of Supervisory Committee Form 2M - Appointment of Examining Committee - Master's Form 2P - Appointment of Examining Committee - PhD Confidentiality Disclosure Agreement Theses Non-Exclusive Licence Request for Approval to Withhold a Thesis from Publication Thesis Binding Form ProQuest Publishing Agreement Establishment of Second Reader for Project or Paper Appointment of PhD Candidacy Committee PhD Candidacy Examination - Committee Member's Report PhD Candidacy Committee Decision Approval to Transfer from Master's to PhD Form Approval to Transfer from PhD to Master's Form Thank You Letters to Examiners, Second Readers Email Correspondence
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## STU-1010 Graduate Thesis: Thesis

<b>Scope Notes</b>	Consists of accepted theses and information regarding thesis defense, supervisory and examining committees, and external examiner's report.
<b>Retention Trigger</b>	Thesis approved
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Dean of Graduate Studies
<b>Source</b>	
<b>Records System</b>	Paper
<b>Citations</b>	<i>Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40</i> <i>Disposal of Personal Information, RRO 1990, Reg 459</i>
<b>Record Authority</b>	Dean of Graduate Studies
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	Form 3 - External Examiner's Report on Thesis Form 3P - University Examiner's Report on Thesis Form 4 - Chair's Report on Thesis Examination Certificate of Approval - Thesis Confidentiality Disclosure Agreement Theses Non-Exclusive Licence Submission of Master's or PhD Thesis Certificate of Approval - Project or Paper Certificate of Approval – Portfolio Submission of Master's Project PhD Candidacy Examination - Committee Member's Report PhD Candidacy Committee Decision
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium



## STU-1100 Academic Misconduct: Decisions

<b>Scope Notes</b>	
<p>Consists of forms documenting disciplinary action taken by course instructors, deans or the Academic Integrity Committee. These forms are sent by the Faculties to the Registrar's Office for retention in the student's official file. Disciplinary action may include written reprimand, warning, or notice of disciplinary probation, suspension or expulsion.</p> <p>Materials supporting and documenting the investigation of academic misconduct are retained in the Faculties: STU-0310 Academic Misconduct: Case Files.</p>	
<b>Retention Trigger</b>	Decision rendered
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	Faculties
<b>Records System</b>	Banner Paper
<b>Citations</b>	UOIT Academic Calendar section 5.16
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Academic warning Suspension Transcript notation
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – New PIB??
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-1110 Academic Misconduct: Case Files

<b>Scope Notes</b>	
<p>Consists of written documentation and evidence supporting investigations of academic misconduct. Includes communication with students, re-evaluated work, and any other documentation generated by Course Instructors, Deans, or the academic integrity committee. These case files may become the basis for Academic Appeals.</p> <p>Results of investigation of academic misconduct and academic appeals are sent to the Registrar's Office for retention in the student's official file. See: STU-0300 Academic Misconduct and Appeals: Decisions.</p>	
<b>Retention Trigger</b>	Decision rendered
<b>Retention</b>	Trigger + 7 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	
<b>Records System</b>	Banner Paper
<b>Citations</b>	UOIT Academic Calendar section 5.16
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Academic warning Suspension Transcript notation
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-1120 Academic Appeals: Case Files

<b>Scope Notes</b>	
Consists of case files of formal appeals made to the Academic Appeals Committee. Includes notice of appeal, supporting evidence, written submissions, witness lists, and decision rendered by the committee.	
For decisions of the Academic Appeals Committee, see: STU-1140 Academic Appeals Decisions.	
<b>Retention Trigger</b>	Decision rendered
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of the University Secretary
<b>Source</b>	Academic Appeals Committee
<b>Records System</b>	Banner Paper (academic dismissal)
<b>Citations</b>	UOIT Academic Calendar
<b>Record Authority</b>	University Secretary and General Counsel
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Notice of appeal Written submissions Supporting documents Witness list Minutes of oral hearing Committee decision
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – S6 Academic Appeals
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-1130 Academic Misconduct: Suspensions or Transcript Notations

<b>Scope Notes</b>	
Consists of records related to academic misconduct where the result was disciplinary action including suspension or transcript notation.	
<b>Retention Trigger</b>	Successful appeal to have the notation expunged
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	Office of the University Secretary
<b>Source</b>	Academic Appeals Committee
<b>Records System</b>	Banner Paper (academic dismissal)
<b>Citations</b>	UOIT Academic Calendar
<b>Record Authority</b>	University Secretary
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Notice of appeal Written submissions Supporting documents Witness list Minutes of oral hearing Committee decision
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – S1 Student Information System
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## STU-1140 Academic Appeals: Decisions

<b>Scope Notes</b>	
Consists of letters or summaries documenting the decisions made by the Academic Appeals Committee.	
For case files of formal appeals of academic decisions, see: STU-1120 Academic Appeals: Case Files	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	Academic Appeals Committee
<b>Records System</b>	Banner Paper
<b>Citations</b>	UOIT Academic Calendar section 5.16
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Academic warning Suspension Transcript notation
<b>Retention Rationale</b>	To establish precedent for the University's Academic Appeals Committee.
<b>Personal Information</b>	Yes – S6 Academic Appeals
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-1150 Academic Appeals: Decisions (public)

<b>Scope Notes</b>	
Consists of letters or summaries documenting the decisions made by the Academic Appeals Committee.	
For case files of formal appeals of academic decisions, see: STU-1120 Academic Appeals: Case Files	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Office of the University Secretary and General Counsel
<b>Source</b>	Academic Appeals Committee
<b>Records System</b>	Banner Paper
<b>Citations</b>	UOIT Academic Calendar section 5.16
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	Academic warning Suspension Transcript notation
<b>Retention Rationale</b>	TO establish precedent for the University's Academic Appeals Committee.
<b>Personal Information</b>	Yes – S6 Academic Appeals
<b>Vital Record</b>	No
<b>Protection</b>	Public

## STU-1200 Grievance or Complaint

<b>Scope Notes</b>	
Record of a grievance or complaint filed by a student and the steps taken to investigate and address it.	
<b>Retention Trigger</b>	Last action
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Office of the Registrar
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes
<b>Vital Record</b>	High
<b>Protection</b>	High

## STU-1300 Practicum

<b>Scope Notes</b>	
Consists of records of students participating in practicums. Includes application and interview, student code of conduct, health and safety orientation checklist, midterm meeting evaluations and final evaluation, coursework and learning contract, and declaration of understanding re: insurance.	
For records of Student Health and Safety orientation see: CAM-1100 Student Orientation	
For records of Student Workplace Insurance see: CMP-1220 Insurance: Student	
<b>Retention Trigger</b>	Last action
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium



## STU-1400 Work Study

<b>Scope Notes</b>	
Consists of records of students participating in practicums. Includes application and interview, student code of conduct, health and safety orientation checklist, midterm meeting evaluations and final evaluation, coursework and learning contract, and declaration of understanding re: insurance.	
For records of Student Health and Safety orientation see: CAM-1100 Student Orientation	
For records of Student Workplace Insurance see: CMP-1220 Insurance: Student	
<b>Retention Trigger</b>	Last action
<b>Retention</b>	3 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	-
<b>Records System</b>	Paper
<b>Citations</b>	-
<b>Record Authority</b>	Registrar
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## STU-1500 Student Life: Program Management

<b>Scope Notes</b>	
Consists of records related to scheduling, organizing and developing collateral materials for Student Life programs, including Student Experience, Intramural and Varsity Athletics programs.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Student Life
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	
<b>Record Authority</b>	AVP Student Life
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Varsity Program Intramural Program Student Experience Program  Schedules Communications/handouts Training materials
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## STU-1600 Student Life: Attendance and Registration

<b>Scope Notes</b>	
Consists of records needed for scheduling, registration and attendance at events, workshops, and appointments, including one-on-one sessions. Includes records relating to Student Experience Programs, Peer Mentors, Student Learning Centre, Employment Advising, Intramural Program and Coop and Internship Program.	
For content of events and workshops, see: STU-1700 Workshops and Training	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Student Life
<b>Source</b>	
<b>Records System</b>	Orbis Spreadsheets
<b>Citations</b>	
<b>Record Authority</b>	AVP Student Life
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Orbis entries Event attendance reports
<b>Retention Rationale</b>	Based on operational need and design of Orbis system
<b>Personal Information</b>	Yes – various S15 Learner Support S16 Career and Employment Assistance S17 Student Life S18 Sport and Athletics
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## STU-1700 Student Life: Workshops and Training

<b>Scope Notes</b>	
<p>Consists of records related to the content of workshops and training that communicate codes of conduct, responsibilities or volunteer duties. These programs include Orientation and Transition, Mentoring and Leadership and Campus and Community Engagement, any programs that include student volunteers, and Coop and Internship. Includes information about schedules for workshops and events, communications and handouts, and presentations.</p> <p>Records of attendance at workshops is part of STU-1600 Attendance and Registration</p>	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Student Life
<b>Source</b>	
<b>Records System</b>	Hybrid
<b>Citations</b>	
<b>Record Authority</b>	AVP Student Life
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	<p>Schedules</p> <p>Communications/handouts</p> <p>Training materials</p> <p>Presentations</p>
<b>Retention Rationale</b>	Demonstrates UOIT's diligence in informing students of their responsibilities and the code of conduct they must adhere to in the Coop and Internship Program, as Orientation Leaders, Peer Mentors, etc.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## STU-1800 Student Life: Case files

<b>Scope Notes</b>	
Consists of case files for interactions with students where there is an ongoing relationship and notes, forms or communications are maintained.	
The following Student Life programs maintain student case files:	
<ul style="list-style-type: none"> <li>• Career Counselling</li> <li>• Varsity Athletics</li> <li>• Student Learning Centre</li> </ul>	
For student case files containing medical information or accessibility services, see STU-1900 Counselling and Health Records: Case Files	
<b>Retention Trigger</b>	Student graduates
<b>Retention</b>	Trigger + 3 years
<b>Responsible Unit(s)</b>	Student Life
<b>Source</b>	
<b>Records System</b>	Paper, Orbis
<b>Citations</b>	
<b>Record Authority</b>	AVP Student Life
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Schedules Communications/handouts Training materials
<b>Retention Rationale</b>	Retention is based on the retention period for student registration and advising files.
<b>Personal Information</b>	Yes S15 Learner Support S16 Career and Employment Assistance S17 Student Life
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## STU-1900 Accessibility Services: Case Files

<b>Scope Notes</b>	Consists of case files for students requesting accommodations through Accessibility Services. May include personal health information. Contains intake and confidentiality forms, records of appointments and points of contact, session notes, protocols, accommodation letters and doctors' notes.
<b>Retention Trigger</b>	For students over 18: Last contact For students under 18: 18 <sup>th</sup> birthday
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Student Life
<b>Source</b>	Students Medical Practitioners Student Banner record
<b>Records System</b>	Clockwork Paper files
<b>Citations</b>	COTO Standards for Record Keeping (July 2008), page 11
<b>Record Authority</b>	AVP Student Life
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	<p><u>Case files in:</u> <i>Student Accessibility Services</i></p> <p><b>Clockwork</b></p> <ul style="list-style-type: none"> <li>• Client information (demographic – pulled from Banner)</li> <li>• Appointments</li> <li>• Points of contacts</li> <li>• Protocols</li> <li>• Accommodation letters</li> <li>• Doctors' notes</li> </ul> <p><b>Paper files</b></p> <ul style="list-style-type: none"> <li>• Intake form</li> <li>• Confidentiality form</li> <li>• Doctors' notes</li> </ul>
<b>Retention Rationale</b>	Recommendation of College of Occupational Therapists of Ontario.
<b>Personal Information</b>	Yes – S14 Students with Disabilities
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-2000 Counselling and Health Records: Case Files

<b>Scope Notes</b>	Consists of case files for students containing personal health information. Includes case files for Student Mental Health and Athletic Therapy. Contains intake and confidentiality forms, records of appointments and points of contact, session notes, protocols, accommodation letters and doctors' notes.
<b>Retention Trigger</b>	For students over 18: Last contact For students under 18: 18 <sup>th</sup> birthday
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Student Life
<b>Source</b>	Students Medical Practitioners Student Banner record
<b>Records System</b>	Clockwork Paper files
<b>Citations</b>	CRPO Professional Practice Standards (Jan 29, 2014), page 60 COTO Standards for Record Keeping (July 2008), page 11
<b>Record Authority</b>	AVP Student Life
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	<p><u>Case files in:</u></p> <p><i>Student Mental Health</i></p> <p><b>Clockwork</b></p> <ul style="list-style-type: none"> <li>• Client information (demographic – pulled from Banner)</li> <li>• Appointments</li> <li>• Points of contacts (emails, appointments)</li> <li>• Selected scanned or input session notes</li> </ul> <p><b>Paper files</b></p> <ul style="list-style-type: none"> <li>• Intake form</li> <li>• Confidentiality form</li> <li>• Detailed clinical notes</li> <li>• Other materials arising from sessions</li> <li>• Client information (medical history)</li> </ul> <p><i>Athletic Therapy/Student Athletes</i></p> <ul style="list-style-type: none"> <li>• Physicals</li> <li>• Medical declarations</li> <li>• Athletic therapy clinical notes</li> </ul>
<b>Retention Rationale</b>	Recommendations from professional bodies (College of Occupational Therapists of Ontario, College of Registered Psychotherapists of Ontario).
<b>Personal Information</b>	Yes – S14 Students with Disabilities Yes – New PIB (Student Mental Health) Yes - U9 Athletic Therapy
<b>Vital Record</b>	No
<b>Protection</b>	High

## STU-2100 Reports and Statistics

<b>Scope Notes</b>	
Consists of summary reports and analyzed data to monitor the performance and outcomes of Student Life programs.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Student Life
<b>Source</b>	
<b>Records System</b>	Various
<b>Citations</b>	
<b>Record Authority</b>	AVP Student Life
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	Summary reports of events - Consists of summary reports documenting the events put on by Student Experience, including Orientation. Includes information on attendance, promotion, event schedule and contents. Provides a history of what has been tried in the past, what events have been successful, how attendance has changed over the years.  Statistical reports regarding program attendance
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low



## STU-2200 Involvement Record

<b>Scope Notes</b>	
Consists of records of involvement in non-academic activities by students at UOIT, including clubs, teams, volunteering. Records are submitted by students into an online database and validated by authorized individuals.	
<b>Retention Trigger</b>	Student graduates
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Student Life: Student Experience
<b>Source</b>	Students
<b>Records System</b>	ORBIS
<b>Citations</b>	
<b>Record Authority</b>	AVP Student Life
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Co-curricular record in Orbis
<b>Retention Rationale</b>	Allow a long period of availability of Involvement Record after graduation.
<b>Personal Information</b>	Yes – S17 Student Life
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## Teaching and Learning

Includes records related to faculty administrative and teaching functions such as accreditation, courses and curriculums, program reviews, scheduling and enrolment as well as student evaluations and the Library functions. Also includes institutional research and analysis to support student retention and other institutional goals.

Code	Record Series Name	Trigger	Retention Period
TEA-0100	Institutional Reporting: Data		Permanent
TEA-0200	Course Evaluations: Submissions	End of academic year	2 years
TEA-0210	Course Evaluations: Data	End of academic year	10 years
TEA-0300	Student Retention		Permanent
TEA-0400	Data Requests	End of academic year	5 years
TEA-0500	Learning Experiences Database		Permanent
TEA-0600	Surveys: Submissions	End of academic year	2 years
TEA-0610	Surveys: Data		Permanent
TEA-0700	Exams and Course Work	End of semester	1 year
TEA-0710	Course material	End of course	4 years
TEA-0800	Program and Curriculum Development: Project files	File closed	5 years
TEA-0900	Curriculum: Changes and New Programs	End of academic year	10 years
TEA-1000	Academic Program Reviews	End of academic year	10 years
TEA-1100	Course Outlines and Syllabi		Permanent
TEA-1200	Accreditation	Completion of two cycles	Trigger
TEA-1300	Academic Calendar: Final		Permanent
TEA-1310	Academic Calendar: Working	Release of academic calendar	3 years
TEA-1400	Library Services: Collection Development and Acquisitions	Last action	7 years
TEA-1410	Library Services: Collections Database	Superseded	Trigger
TEA-1500	Library Services: Patron Services Database	Account settled and no further activity	7 years
TEA-1510	Library Services: Library Patron Applications	Account settled and no further activity	7 years
TEA-1520	Library Services: Inter-library loan	Material returned	2 years
TEA-1600	Library Services: Reference	Last action	1 year
TEA-1700	Library Services: Reports and Statistics	End of academic year	7 years
TEA-1800	Archives Services: Acquisition		Permanent
TEA-1900	Archives Services: Arrangement and Description		Permanent
TEA-2000	Archives Services: Preservation		Permanent
TEA-2100	Archives Services: Reference	Last action or end of agreement	2 years



## TEA-0100 Institutional Research: Data

<b>Scope Notes</b>	
Consists of data captured to create long-term statistical reporting on UOIT over time. This data is retained and used for planning, demonstrating changes to UOIT over time and evaluating the success of initiatives. Includes data captured to fulfil government reporting requirements and Council of Ontario Universities submissions.	
Excludes CMP-0700 Government Reporting	
<b>Retention Trigger</b>	Audited
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	Units
<b>Records System</b>	Paper, electronic
<b>Citations</b>	
<b>Record Authority</b>	Provost
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	PFIS/USER – Term Enrolment (Data) CENSUS Enrolment CENSUS Student Registration CENSUS Course Registration PFIS/USER – Term Min/Max Claim (Data) PFIS/USER – Degrees Awarded (Data) CUDO (Common University Data Set) Program Review Data Support Admissions % Registration Reports Tuition Fee Compliance Tuition Fee Survey Tuition and Living Accommodation Survey Tuition increase reports Ministry Documentation (PTOT, FTOT, etc.) KPI (Key Performance Indicators) Reports
<b>Retention Rationale</b>	This data has long-term value for future planning and demonstrating UOIT's progress over time, and evaluating the success of initiatives.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium sensitivity

## TEA-0200 Course Evaluations: Submissions

<b>Scope Notes</b>	
Consists of course evaluation submissions made by students. Students submit course evaluations online to the eXplorance Blue system.	
For aggregated course evaluation data, see: TEA-0210 Course Evaluations: Data	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	Units, Students
<b>Records System</b>	eXplorance Blue
<b>Citations</b>	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Online submissions from students.
<b>Retention Rationale</b>	Based on practices of other institutions.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium sensitivity

## TEA-0210 Course Evaluations: Data

<b>Scope Notes</b>	
Consists of aggregated course evaluation data created from submissions made by students. Students submit course evaluations online to the eXplorance Blue system.	
For individual course evaluation submissions, see: TEA-0200 Course Evaluations: Submissions	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	Units, University Secretariat
<b>Records System</b>	eXplorance Blue
<b>Citations</b>	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Data documenting course evaluation results
<b>Retention Rationale</b>	Based on practices of other institutions.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium sensitivity

## TEA-0300 Student Retention

<b>Scope Notes</b>	
Consists of databases recording the retention and progress of certain demographics of students, including First Generation, Aboriginal and Pathways students as well as a database on retention of the general student population. Updated yearly.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	Units, University Secretariat
<b>Records System</b>	Paper, electronic
<b>Citations</b>	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40
<b>Record Authority</b>	Provost
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	Retention, First Gen, Aboriginal, Pathways
<b>Retention Rationale</b>	This data has long-term value for future planning and demonstrating UOIT's progress over time, and evaluating the success of initiatives.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Low/medium sensitivity

## TEA-0400 Data Requests

<b>Scope Notes</b>	
Consists of requests for data from internal units and third parties. Includes requests and responses.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	Units, 3 <sup>rd</sup> parties
<b>Records System</b>	Email, electronic
<b>Citations</b>	
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Requests Reports/data to respond to requests
<b>Retention Rationale</b>	Based on operational need for planning and reuse of responses.
<b>Personal Information</b>	Requests may involve personal information
<b>Vital Record</b>	No
<b>Protection</b>	Low/medium sensitivity



## TEA-0500 Experiential Learning: Learning Experiences Database

<b>Scope Notes</b>	
A database that tracks the learning experiences students take part in including co-op placements, internship, Capstone projects, field experience, practicums and research. Database includes student information (name, Banner ID, term), and company information.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	12 groups feed information into the system
<b>Records System</b>	Database
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	
<b>Records Arising from Activity</b>	Database record of individual student's learning experiences.
<b>Retention Rationale</b>	
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Long term retention – hardware and software migration strategy Limit user access to users who require access to complete their work Backup including offsite backup

## TEA-0600 Surveys: Submissions

<b>Scope Notes</b>	
Consists of survey responses submitted to the various surveys conducted each year.	
Excludes TEA-0610 Surveys: Data	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	Units, University Secretariat
<b>Records System</b>	eXplorance Blue
<b>Citations</b>	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	NSSE, CUSC, CGPSS, MTCU grad survey data results National Survey of Student Engagement Canadian University Survey Consortium Canadian Graduate and Professional Student Survey Ontario University Graduate Survey
<b>Retention Rationale</b>	Based on practices of other institutions.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Low/medium sensitivity

## TEA-0610 Survey Data

<b>Scope Notes</b>	
Consists of aggregate data from surveys with significance for institutional planning and development. Includes national surveys and Ministry surveys used to form key performance indicators.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	OIRA
<b>Source</b>	-
<b>Records System</b>	eXplorance Blue
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	NSSE, CUSC, CGPSS, MTCU grad survey data results National Survey of Student Engagement Canadian University Survey Consortium Canadian Graduate and Professional Student Survey Ontario University Graduate Survey
<b>Retention Rationale</b>	The data has long-term value for future course and program planning and staffing.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## TEA-0700 Final Exams and Course Work

<b>Scope Notes</b>	
Consists of graded final exams or other course work submitted by students that is unclaimed or not intended to be returned to students.	
For course work or exams submitted to Blackboard Learn, see: TEA-0710 Course Materials & Communications.	
<b>Retention Trigger</b>	End of academic term
<b>Retention</b>	1 year
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	Students
<b>Records System</b>	Paper
<b>Citations</b>	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40
<b>Record Authority</b>	Associate Provost, Academic
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	Exams Course work
<b>Retention Rationale</b>	Based on practices of other institutions, recommendation from American Association of Collegiate Registrars and Admissions Officers.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium sensitivity

## TEA-0710 Course Materials &amp; Communications

<b>Scope Notes</b>	
Consists of course materials shared with students, assignments and other work submitted or completed via Blackboard Learn and message boards and other course-related communications.	
<b>Retention Trigger</b>	End of academic years
<b>Retention</b>	4 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	Students
<b>Records System</b>	Blackboard Learn
<b>Citations</b>	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40
<b>Record Authority</b>	Associate Provost, Academic
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Exams Course work
<b>Retention Rationale</b>	Based on system capabilities and continued reference of students even after course is completed.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium sensitivity

## TEA-0800 Curriculum and Program Development: Project files

<b>Scope Notes</b>	
Consists of records relating to the development of new academic programs, major and minor curriculum changes and modifications to existing academic programs. This records series is for working papers, proposals, background materials, studies, etc. used in developing curriculum and programs.	
For final versions of these records, see: TEA-0900 Curriculum: Changes and New Programs	
<b>Retention Trigger</b>	File closed
<b>Retention</b>	5 years
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	-
<b>Records System</b>	-
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	Secure Destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	May be used in the development of future curricular/program changes. A more permanent record of changes will exist in Quality Assurance Office.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## TEA-0900 Curriculum: Changes and New Programs

<b>Scope Notes</b>	
	Consists of records documenting minor curricular changes, minor program changes, major program modifications and new degree programs as defined in the UOIT Quality Assurance Handbook. Includes course change forms, academic requirements, changes in design, mode of delivery, learning outcomes, teaching and assessment methods, records documenting new degree programs.
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Provost's Office
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	UOIT Quality Assurance Handbook s.1.B.1
<b>Record Authority</b>	Provost
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Course Change template New course template
<b>Retention Rationale</b>	Quality Assurance Handbook specifies a 10-year retention period.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## TEA-1000 Academic Program Reviews

<b>Scope Notes</b>	
Each academic program is subject to review once every eight years. The program review procedure creates the following records: a self-study brief by the program, external evaluation to provide recommendations on program quality improvement, internal response to review and recommendations, implementation plan and reporting on the implementation of recommendations.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	10 years
<b>Responsible Unit(s)</b>	Provost's Office
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	UOIT Quality Assurance Handbook s.1.B.1
<b>Record Authority</b>	Provost
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	Procedures for program reviews involve five components: the development a self-study brief by the program under review; external evaluation to provide recommendations on program quality improvement; internal response to review and recommendations; preparation and approval of an implementation plan; and subsequent reporting on the implementation of recommendations.
<b>Retention Rationale</b>	Quality Assurance Handbook specifies a 10-year retention period.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium



## TEA-1100 Course Outlines

<b>Scope Notes</b>	
Consists of syllabi and course outlines for courses offered to UOIT students. Course outlines consist of a detailed description of course content and objectives and evaluation criteria.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Teaching and Learning Centre Originating Faculty (if not submitted to Syllabizer)
<b>Source</b>	-
<b>Records System</b>	Syllabizer
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Record has long-term value to assess course equivalencies and track UOIT history.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Public

## TEA-1200 Accreditation

<b>Scope Notes</b>	
Some programs fall under a provincial, federal or international accreditation standard. Such programs undergo an independent review process by the accrediting body. The records include self-study and other reports required by the accrediting body, site visit reports, responses, accreditation decisions, annual, interim, and other between review reports, records relating to complaints and appeals of accreditation decisions, and related correspondence.	
<b>Retention Trigger</b>	Completion of two cycles
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	Originating Faculty
<b>Source</b>	Students
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	Provost
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	Exams Course work
<b>Retention Rationale</b>	Accreditation cycles vary in length between bodies. Retention period will ensure records from the previous two cycles will be available.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## TEA-1300 Academic Calendar: Final

<b>Scope Notes</b>	
Consists of final, public version of Academic Calendar for a given academic year and all amendments released for the calendar.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Registrar's Office Graduate Studies
<b>Source</b>	-
<b>Records System</b>	
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	Archives
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Public

## TEA-1310 Academic Calendar: Working

<b>Scope Notes</b>	
Consists of the working version of the academic calendar which can be modified and amended and drafts and background research used to develop the academic calendar.	
<b>Retention Trigger</b>	Publication of calendar
<b>Retention</b>	Trigger + 3 years
<b>Responsible Unit(s)</b>	Originating Unit
<b>Source</b>	-
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	Provost
<b>Disposition</b>	Destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Working papers for academic calendar development are useful in the production of subsequent calendars.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## TEA-1400 Library Services: Collection Development and Acquisitions

<b>Scope Notes</b>	
<p>Consists of records relating to the acquisition of print and electronic materials for UOIT's libraries to support the teaching and research functions of the University. Records may include consortium membership and correspondence, research of options, model licenses, license negotiations, subscription renewals, ownership transfer documents, evaluations.</p> <p>These activities will result in contracts and agreements. Final executed agreements are considered part of CMP-0300 Agreements.</p> <p>For formal procurement records related to acquisitions, see: FIN-0300 Procurement.</p>	
<b>Retention Trigger</b>	Last action
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	Income Tax Act, R.S.C. 1985, c.1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	Archives review
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	The Income Tax Act requires that books and records be kept until the expiration of six years from the end of the last taxation year to which they relate.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## TEA-1410 Library Services: Collection Database

<b>Scope Notes</b>	
A database consisting of an inventory of the print and electronic collection of the library and tracking the status of the materials. The database generates statistics on access.	
For records relating to acquiring new materials, see: TEA-1000 Collection Development and Acquisition	
<b>Retention Trigger</b>	Superseded
<b>Retention</b>	Trigger
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	
<b>Records System</b>	Collection Database
<b>Citations</b>	
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	Archives review
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	The collection database is an up-to-date record of the library's holdings. Other records document the addition or elimination of materials.
<b>Personal Information</b>	No
<b>Vital Record</b>	Yes
<b>Protection</b>	Medium

## TEA-1500 Library Services: Patron Services Database

<b>Scope Notes</b>	
Consists of records relating to individual library patrons including contact information and their accounts. The database tracks the circulation of library materials including lending and checking in returned materials, placing items on reserve or hold, and fines for overdue materials.	
Records of lending and checking in are not retained once materials are returned.	
<b>Retention Trigger</b>	Account settled and no further activity
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	Banner
<b>Records System</b>	Patron Services Database
<b>Citations</b>	Income Tax Act, R.S.C. 1985, c.1 (5th Supp.) s.230 (4)(b)
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Patron contact information
<b>Retention Rationale</b>	The Income Tax Act requires that books and records be kept until the expiration of six years from the end of the last taxation year to which they relate.
<b>Personal Information</b>	Yes – U10 Library Circulation Database
<b>Vital Record</b>	Yes
<b>Protection</b>	High

## TEA-1510 Library Services: Library Patron Applications

<b>Scope Notes</b>	
Consists of completed application forms and consent forms for patrons requesting library service.	
Note: Applications for library service are no longer required for UOIT or Durham College employees or students who have accounts in Banner. Banner data is mirrored, and implied consent to receive library service is assumed. Other patrons, including community members, alumni, and retired staff may still be required to submit application forms.	
<b>Retention Trigger</b>	Account settled and no further activity
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	Banner
<b>Records System</b>	Paper
<b>Citations</b>	
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	Patron contact information
<b>Retention Rationale</b>	Matches the retention period of the Patron Services Database.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Medium



## TEA-1520 Library Services: Inter-library loan

<b>Scope Notes</b>	
Consists of records relating to processing interlibrary loans. Interlibrary loan requests are submitted online by students and are processed and retained in RACER. Records may include interlibrary loan registration forms and requests.	
<b>Retention Trigger</b>	Material returned
<b>Retention</b>	2 years
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	Banner
<b>Records System</b>	RACER (Hosted Service)
<b>Citations</b>	
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	Secure destruction
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Ontario Council of University Libraries decision to retain inter-library loans for 2 years. Retention managed externally.
<b>Personal Information</b>	Yes – U10 Library Circulation Database
<b>Vital Record</b>	-
<b>Protection</b>	Protection managed externally.

## TEA-1600 Library Services: Reference

<b>Scope Notes</b>	
Consists of records relating to reference services offered to the University community including responding to email and telephone inquiries and requests, the provision of online research help and in-person research consultation. Records may include reference requests and replies, workshop and appointment booking requests and transcripts of online sessions.	
For statistics relating to these services, see: TEA-1300 Library Services: Reports and Statistics	
<b>Retention Trigger</b>	Last action
<b>Retention</b>	1 year
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	Patrons
<b>Records System</b>	Hybrid
<b>Citations</b>	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	Archival
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Records containing personal information must be retained for at least one year in accordance with the requirements of the Freedom of Information and Protection of Privacy Act.
<b>Personal Information</b>	Yes – New PIB
<b>Vital Record</b>	No
<b>Protection</b>	Low

## TEA-1700 Library Services: Reports and Statistics

<b>Scope Notes</b>	
Consists of statistical reporting on Library activities, including reference, workshops, meeting spaces, check-outs, use of equipment, etc. This reporting is used for long-term planning, acquisition of materials, and other Library activities.	
<b>Retention Trigger</b>	End of academic year
<b>Retention</b>	7 years
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	
<b>Records System</b>	Hybrid
<b>Citations</b>	-
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	Destroy
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Retention based on anticipated operational use.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Low

## TEA-1800 Archives Services: Acquisition

<b>Scope Notes</b>	
Consists of records relating to the acquisition of archival materials including literary papers, photographs, rare books, artifacts, and records of the University preserved for legal and evidential value, to support the teaching and research functions of the University. Acquisitions are made through purchase, private donation and scheduled transfer of University records. Records may include appraisals, receipt of transfer, donation agreements, transfer of ownership statement, accession documentation, evaluation and copies of tax receipts.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	-
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	
<b>Retention Rationale</b>	Retention based on current operational practice.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## TEA-1900 Archives Services: Arrangement and Description

<b>Scope Notes</b>	
Consists of records relating to the arrangement and description of acquired archival materials. Records may include finds registers, inventories, guides and indexes.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	-
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	-
<b>Records Arising from Activity</b>	-
<b>Retention Rationale</b>	Retention based on anticipated operational use.
<b>Personal Information</b>	No
<b>Vital Record</b>	No
<b>Protection</b>	Medium

## TEA-2000 Archives Services: Preservation

<b>Scope Notes</b>	
Consists of records relating to preservation of the University Archives' holdings accomplished through environment controls, materials handling techniques and conservation treatments such as mending, binding, and copying deteriorating originals to another format. Records may include collection assessments, preservation needs documentation and treatment files.	
<b>Retention Trigger</b>	
<b>Retention</b>	Permanent
<b>Responsible Unit(s)</b>	Library
<b>Source</b>	
<b>Records System</b>	
<b>Citations</b>	-
<b>Record Authority</b>	University Librarian
<b>Disposition</b>	
<b>Records Arising from Activity</b>	-
<b>Retention Rationale</b>	Retention based on anticipated operational use.
<b>Personal Information</b>	-
<b>Vital Record</b>	No
<b>Protection</b>	Low

## Appendix A to RCRS: Citations Table

#	Title	Reference	Citation
1	[Pension] General, RRO 1990, Reg 909	-	-
2	Agreement on the Administration of Agency Grant 3.3		The Institution shall administer and expend the funds that it receives from an Agency in accordance with: the Agency's financial policies and procedures including, but not limited to, the Tri-Agency Financial Administration Guide, as they may be amended or supplemented from time to time; and any additional terms or conditions of the Grant or Award; establish and maintain policies, systems, procedures and controls that require and ensure compliance by Recipients with the Agency's financial requirements; for each Grant and Award: maintain a separate account; ensure that each expenditure and charge made to the Grant or Award account is authorized by the Recipient, or by their delegate if the delegation is clearly documented; <b>and keep complete and accurate records on the use of Agency funding, including verifiable audit trails with complete supporting documentation for each transaction, for at least seven years;</b> withhold or withdraw approval of expenditures that contravene an Agency or institutional policy or a term of the Grant or Award; consult with the funding Agency whenever the Institution is uncertain as to the Agency's financial requirements; promptly process eligible and approved payments from Recipient accounts; provide adequate financial and administrative support to its Recipients to ensure sound management of funds; in the event of a transfer of Grant or Award funds from the Institution to another institution, ensure that the transfer complies with the provisions of the Agency's applicable financial policies, guidelines and procedures; provide regular and timely financial reports on the use of Agency funds, as the Agency may require, and comply with Agency requirements related to ongoing financial monitoring; provide each Grant and Award holder with regular information regarding their account; upon reasonable notice, allow Agency representatives access to its premises and facilities to carry out monitoring reviews and compliance audits, provide them with access to all accounts, records and other information related to a Grant or Award, and respond fully and accurately to any inquiries the Agency may make for the purpose of
3	Broader Public Sector Procurement Directive	s. 7.2.23	Procurement Directive Mandatory Requirement #23: Procurement Records Retention For reporting and auditing purposes, all procurement documentation, as well as any other pertinent information must be retained in a recoverable form for a period of seven years. Organizations must have a written policy for handling, storing and maintaining the suppliers' confidential and commercially sensitive information.
5	Canadian Human Rights Act, RSC 1985, c H-6	s.60.5	A prosecution for an offence under this section may not be instituted more than one year after the subject-matter of the proceedings arose.

6	COTO Standards for Record Keeping (July 2008), p Page 11	<p>"7.1 A record is retained for at least ten years from the latter of the date of the last entry in the record or the date ten years after the day on which the client reached or would have become 18 years old;"</p>
		<p>Need to know access. Locked cabinets behind locked door. Corresponding electronic security measures.</p>
		<p>Protection requirements from COTO Standards for Record Keeping:            7.3 That destruction of a record, both in electronic form and paper, is done in a secure manner that prevents anyone from accessing, discovering or otherwise obtaining the information (e.g. cross-shredding, incineration etc.);            7.4 A list of names and dates for those files that have been destroyed is maintained in perpetuity or until maintaining the list is no longer reasonably necessary according to facility or practice policy;            7.5 Records are maintained after the 10 year period if it is reasonably known that a piece of health information will be required after the 10 year mark for a valid reason (ongoing care, legal proceeding);            7.6 Records, regardless of the medium used, should be stored and maintained to safeguard the privacy and security of this health information;            7.7 Retention of audio/visual multi-media (photos, videotapes, audio-tapes, images, etc.) created/obtained with client consent, is part of the client's record, and should be maintained in accordance with policies and procedures developed to safeguard the privacy and security of this health information. All multi-media should clearly identify the client's name, unique identifier, and date;            7.8 Audio/visual multi-media is subject to the same retention and destruction requirements of paper health information. The deletion/erasure/destruction of electronic health information should be accomplished in a manner that does not permit recovery of data.</p>
7	CRPO Professional Practice Standards (Jan 29, 20: Page 60	<p>"Where the RP is the custodian of the clinical record, s/he retains it for at least 10 years from the date of the last interaction with the client, or for 10 years from the client's 18th birthday, whichever is later. For example, if a child is age seven at the time of the last interaction, the record would be kept until s/he is 28 years of age."</p>
8	Disposal of Personal Information, RRO 1990, Reg - 459	<p>Governs secure disposal of personal information</p>
9	Employment Standards Act S.O. 2000, c.41 s.15	<p>Description of required employment records</p>
10	Employment Standards Act S.O. 2000, c.41 S.15.1(5)	<p>(Vacation Time and Vacation Pay) Retention of records            (5) The employer shall retain or arrange for some other person to retain each record required under this section for three years after it was made. 2002, c. 18 Sched. 1 s. 3 (9)</p>
11	Employment Standards Act S.O. 2000, c.41 s.15(5)	<p>Retention of records            (5) The employer shall retain or arrange for some other person to retain the records of the information required under this section for the following periods:            1. For information referred to in paragraph 1 or 3 of subsection (1), three years after the employee ceased to be employed by the employer.            2. For information referred to in paragraph 2 of subsection (1), the earlier of,            i. three years after the employee's 18th birthday, or            ii. three years after the employee ceased to be employed by the employer.            3. For information referred to in paragraph 4 of subsection (1) or in subsection (3), three years after the day or week to which the information relates.            4. For information referred to in paragraph 5 of subsection (1), three years after the information was given to the employee.            2002, c. 18 Sched. 1 s. 3 (9)</p>
12	Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40	<p>at least 1 year retention period for personal information after use</p>
13	Freedom of Information and Protection of Privacy s.6(1)	<p>"Every head of an institution shall ensure that the institution maintains a disposal record setting out what personal information has been destroyed or transferred to the Archives and the date of that destruction or transfer."</p>



14	General Nuclear Safety and Control Regulations (SOR/2000-202) s21-23	s21-23	<p>Document retention</p> <ul style="list-style-type: none"> <li>• 29. (1) Documents that are required under the Act to be prepared must be maintained for five years after the day on which they are prepared and must be provided to the Minister on request.</li> <li>• Marginal note: Exception — incidents</li> </ul> <p>(2) Despite subsection (1), the retention period is 10 years for documents that contain information that relates to the following incidents:</p> <ul style="list-style-type: none"> <li>o (a) an incident that is described in subsection 12(1) or (2), or section 13 or 14, of the Act; and</li> <li>o (b) any incident that results in a failure of or compromise to biocontainment.</li> </ul>
15	Human Pathogens and Toxins Regulation, SOR 2015-44 s. 29	s. 29	<p>Document retention</p> <p>29. (1) Documents that are required under the Act to be prepared must be maintained for five years after the day on which they are prepared and must be provided to the Minister on request.</p> <p>Exception — incidents</p> <p>(2) Despite subsection (1), the retention period is 10 years for documents that contain information that relates to the following incidents:</p> <ul style="list-style-type: none"> <li>(a) an incident that is described in subsection 12(1) or (2), or section 13 or 14, of the Act; and</li> <li>(b) any incident that results in a failure of or compromise to biocontainment.</li> </ul>
16	Income Tax Act, R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b)	s.230(4)(a)(b)	<p>Limitation period for keeping records, etc.</p> <p>(4) Every person required by this section to keep records and books of account shall retain</p> <ul style="list-style-type: none"> <li>(a) the records and books of account referred to in this section in respect of which a period is prescribed, together with every account and voucher necessary to verify the information contained therein, for such period as is prescribed; and</li> <li>(b) all other records and books of account referred to in this section, together with every account and voucher necessary to verify the information contained therein, until the expiration of six years from the end of the last taxation year to which the records and books of account relate.</li> </ul>
17	Limitations Act, SO 2002, c 24, Sch B	s.4	<p>Basic limitation period</p> <p>4. Unless this Act provides otherwise, a proceeding shall not be commenced in respect of a claim after the second anniversary of the day on which the claim was discovered.</p>
18	Lobbying Act, RSC 1985, c 44 (4th Supp) s.14.3	s.14(3)	<p>Limitation</p> <p>(3) Proceedings by way of summary conviction in respect of an offence under this section may be instituted at any time within but not later than five years after the day on which the Commissioner became aware of the subject-matter of the proceedings but, in any case, not later than ten years after the day on which the subject-matter of the proceedings arose.</p>
19	Lobbyists Registration Act, 1998, SO 1998, c 27, Sch	17.1(2)	<p>17.1 (2) Investigation within 2 years of the date when the registrar knew or should have known about the alleged non-compliance.</p>
20	Lobbyists Registration Regulations, SOR/2008-116	-	<p>requirement to register and submit a return</p>

21	Nuclear Safety and Control Act, SC 1997, c 9	s.27	Records and reports  27. Every licensee and every prescribed person shall  (a) keep the prescribed records, including a record of the dose of radiation received by or committed to each person who performs duties in connection with any activity that is authorized by this Act or who is present at a place where that activity is carried on, retain those records for the prescribed time and disclose them under the prescribed circumstances; and  (b) make the prescribed reports and file them in the prescribed manner, including a report on  (i) any theft or loss of a nuclear substance, prescribed equipment or prescribed information that is used in carrying on any activity that is authorized by this Act, and  (ii) any contravention of this Act in relation to an activity that is authorized by this Act and any measure that has been taken in respect of the contravention.
22	Nuclear Substances and Radiation Devices Regulations, SOR/2000-207	s.36(2)	(training) 36(2) Every licensee shall retain a record referred to in paragraph (1)(d) for the period ending three years after the termination of employment of the worker.
23	Nuclear Substances and Radiation Devices Regulations, SOR/2000-207	s.36(3)	(service, inspection, measurement, test) 36(3) Every person who is required to keep a record referred to in paragraph (1)(e) or subsection (1.1) shall retain the record for the period ending three years after the earlier of the expiry date and the date of revocation, if any, of the licence.
24	Nuclear Substances and Radiation Devices Regulations, SOR/2000-207	s.36(4)	(4) Every licensee shall keep a record of each leak test conducted on a sealed source or on shielding in accordance with section 18 and that person shall retain the record for the period ending three years after the date on which it is conducted.
25	Occupational Health and Safety Act, RSO 1990 s. 37-38	s.37-38	-
26	Occupational Health and Safety Awareness Training, O Reg 297/13	4(5)	(5) If, within six months of a worker or supervisor no longer performing work for an employer, the worker or supervisor requests a written proof described in subsection (3) or (4), the employer shall provide the worker or supervisor with the requested written proof. O. Reg. 297/13, s. 4(5).
27	OSAP Records Management Guideline: OSAP Record Retention and Archiving	-	Financial Aid Offices (FAOs) are required to maintain on-site student records related to the current academic year plus the previous two academic years; Off-site storage- FAOs are required to transfer student records for off-site storage that relate to academic years prior to current year plus 2 academic years, Documentation will be retained at off-site storage for the required retention period of 20 years.
28	Pension Benefits Act, R.S.O. 1990, c. P.8	s25-31	Required documentation and records: No retention limit given
29	Policy Framework	14.1	All Policies will undergo a substantive review every three years.
30	Procurement of Goods and Services - Procedures	5.6	5.6 (purchasing cards) All documents associated with the purchasing card must be retained for a period of seven years to support potential audit of transactions by fund agencies or sources. Transaction records may be requested at any time by Accounts Payable, Procurement manager, supervisor, and internal or external auditors for examination. Any exceptions to these guidelines shall be documented and must be approved by the CFO and the manager of Procurement.
31	Procurement of Goods and Services - Procedures	3.6	3.6 (procurement)For reporting and auditing purposes, all procurement documentation, as well as any other pertinent information must be retained in a recoverable form for a minimum period of seven years as required by the Ministry of Finance.
32	PSAC for Sessional Lecturers Collective	17.07	-
33	PSAC for TAs & RAs Collective Agreement	16.07	-

34	Radiation Protection Regulations, SOR/2000-203, s. 8	s.7(1)	<p>7. (1) Every licensee shall inform each nuclear energy worker, in writing,</p> <p>(a) that he or she is a nuclear energy worker;</p> <p>(b) of the risks associated with radiation to which the worker may be exposed in the course of his or her work, including the risks associated with the exposure of embryos and fetuses to radiation;</p> <p>(c) of the applicable effective dose limits and equivalent dose limits prescribed by sections 13, 14 and 15; and</p> <p>(d) of the worker's radiation dose levels.</p> <p>(2) Every licensee shall inform each female nuclear energy worker, in writing, of the rights and obligations of a pregnant nuclear energy worker under section 11 and of the applicable effective dose limits prescribed by section 13.</p> <p>(3) Every licensee shall obtain from each nuclear energy worker who is informed of the matters referred to in paragraphs (1)(a) and (b) and subsection (2) a written acknowledgement that the worker has received the information.</p>
35	ri-Council Policy Statement: Ethical Conduct for Research Involving Humans	6.17	<p>Record Keeping of REB Documents</p> <p>Article 6.17 REBs shall prepare and maintain comprehensive records, including all documentation related to the projects submitted to the REB for review, attendance at all REB meetings, and accurate minutes reflecting REB decisions. Where the REB denies ethics approval for a research proposal, the minutes shall include the reasons for this decision.</p> <p>Application REBs need to act, and to be seen to be acting, fairly and reasonably. Institutions shall provide REBs with the necessary resources to enable them to maintain complete study files, including the original research proposal, as well as annual and end-of-study reports. When deciding the retention period of their files, REBs should be guided by their institutional record-keeping policies and other relevant legal or regulatory requirements. Files, minutes and other relevant documentation shall be accessible to authorized representatives of the institution, researchers, sponsors and funders when necessary to assist internal and external audits, or research monitoring, and to facilitate reconsideration or appeals.</p> <p>The minutes of REB meetings shall clearly document the REB's decisions, any dissents and the reasons for them. REB decisions should be supported by clear references (e.g., date of decision, title of project), documentary basis for decision (i.e., documents or progress reports received and reviewed), the plan for continuing ethics review and timelines, reasons for decisions, and any conditions or limitations attached to the approval. Providing reasons for REB decisions is optional when ethics approval is granted.</p> <p>REBs should have written procedures for its management of</p>
36	University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O	-	-
37	University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O s. 16(1)	16(1)	<p>16. (1) The board shall appoint one or more public accountants licensed under the Public Accounting Act, 2004 to audit the accounts, trust funds and transactions of the university at least once a year.</p>
38	University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O s. 16(1)	16(2)	<p>Financial report</p> <p>(2) The university shall make a financial report annually to the Minister of Training, Colleges and Universities in such form and containing such information as the Minister may require. 2002, c. 8, Sched. O, s. 16 (2).</p> <p>Other reports</p> <p>(3) The university shall submit to the Minister of Training, Colleges and Universities all other reports as the Minister may require.</p>
39	UOIT Academic Calendar	Multiple	-

40	UOIT Faculty Association Collective Agreement Art. 18	Art.18	Official Files: Contents, rules on format, access rights
41	UOIT Faculty Association Collective Agreement Art. 24.02	Art.24.02(f)	Any record of discipline shall be removed from a Faculty Member's Official File and Human Resources file after two (2) years provided that there is no further disciplinary action initiated under 24.01 a) during the two year period
42	UOIT Faculty Association for Teaching Faculty Collective Agreement Art. 18	Art.18	Official Files: Contents, rules on format, access rights
43	UOIT Faculty Association for Teaching Faculty Collective Agreement Art. 23.02	Art.23.02(f)	Any record of discipline shall be removed from a Teaching Faculty Member's Official File and Human Resources file after two (2) years provided that there is no further disciplinary action initiated under 23.01 a) during the two year period.
44	UOIT Radiation Safety Manual	s.6.1	"A record of all personnel trained will be maintained by the UOIT Radiation Safety Committee for the duration of the employment of the worker and for five (5) years post UOIT employment."
45	UOIT Signing Authority Registry and Approval Pro -		
46	Workplace Hazardous Materials Information System (WHMIS), RRO 1990, Reg 860	s.17	<p>17. (1) An employer who receives a controlled product from a supplier for use at a workplace shall obtain a supplier material safety data sheet for the controlled product.</p> <p>(2) A supplier material safety data sheet for a controlled product shall contain the same information as the material safety data sheet, if any, that the supplier is required in the circumstances to transmit to a purchaser of the controlled product under paragraph 13 (a) of the Hazardous Products Act (Canada).</p> <p>(3) When a supplier material safety data sheet obtained under subsection (1) is three years old, the employer shall, if possible, obtain from the supplier an unexpired supplier material safety data sheet if any of the controlled product remains in the workplace.</p> <p>(4) An employer who is unable to obtain a material safety data sheet as referred to in subsection (3) shall add all new hazard information for the controlled product to the existing supplier material safety data sheet on the basis of the ingredients disclosed in it.</p> <p>(5) An employer may provide a material safety data sheet in a different format from that of the supplier material safety data sheet for the controlled product or containing additional hazard information,</p> <p>(a) if the material safety data sheet provided by the employer, subject to subsection 40 (6) of the Act, contains no less content than the supplier material safety data sheet; and</p> <p>(b) if the supplier material safety data sheet is available at the workplace and the employer-provided material safety data sheet indicates that fact.</p> <p>(6) If a supplier is exempted by subsection 9 (1) or section 10 of the Controlled Products Regulations (Canada) from providing material safety data sheets,</p>
47	X-ray Safety, RRO 1990, Reg 861	s.12(5)	(5) An employer shall retain an X-ray worker's personal dosimeter records for a period of at least three years. R.R.O. 1990, Reg. 861, s. 12.