

Time Limits for Official Records

Royal Roads University
Approved: February 2020
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Accreditation

Description:

Records relating to the process of meeting the standards of a professional body with regards to curriculum.

Redirects:

For records relating to industry relationships generally, see Industry Relationship Management. For records relating to departmental reviews, see Curriculum Quality Management.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

no

Authorities:

Records relating to accreditation are kept for seven years to support department knowledge. They are ultimately sent to archives because (a) academic programs reflect the heart of the university's mission, (b) records take the form of analysis, indicating a rich information set, and (c) accreditation cycles vary and sending to archives ensures that proof of the latest accreditation is always available. Precedence: Waterloo, Dalhousie.

Relevant links:

Waterloo - TL10 – Accreditation - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl10-accreditation.pdf> Dal - TL30 - Accreditation

Offer & Enrolment Management

Description:

Records pertaining to offers, acceptance, and enrolment. Include reports and statistics on the number of students enrolled each year.

Redirects:

For other institutional statistics, see Institution Reporting. For acceptance criteria, see Admission Evaluation. For records that pertain to individual acceptance or rejection, see Student Application Processing.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to Offer, Acceptance & Enrolment Management are kept for seven years to support department knowledge, and to allow students to understand decisions that affect them, as per FIPPA (Freedom of Information and Protection of Privacy Act [RSBC 1996] CHAPTER 165 s 31). Records are ultimately destroyed because the Registrar's office creates comprehensive datasets representing Royal Roads University in the category Institution Data Collection. Precedence: University of Victoria, Queens.

Relevant links:

Uvic - sr200 reports and statistics - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=83> Queens - AD9100-12 - Statistical Reports and Surveys - <http://records-retention.library.queensu.ca/directory-records.php?series=AD9100.12>

Learning & Teaching Assessment

Description:

Records relating to the assessment of both students and instructors. Includes exam questions, completed exams, surveys, assignments, major projects, invigilation records, grade appeals, course evaluations, and instructor evaluations.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then destroy. NOTE: Instructors inclined to keep student work may benefit from telling students at the beginning of each course that a request for references should be accompanied by marked class assignments.

PIB:

yes

Authorities:

Records relating to course evaluations and student assessments are kept for seven years to improve courses, shed light on grade disputes, and evaluate the effectiveness of instructors. Student work is ultimately destroyed because the content is primarily a reflection of the student's thinking rather than Royal Roads University's teaching. Course evaluations are ultimately destroyed because reviews are not likely to retain their relevance after seven years. Precedence: University of Victoria, Royal Roads University, Simon Fraser University, Waterloo.

Relevant links:

Uvic - sr100-02 - examination questions - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=81> Uvic - sr100-04 - examination answer papers - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=82> Uvic - tp095 - course evaluations (draft) - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=161> RRU - 2740-30 - Grade Appeals RRU - 2740-40 - Grade Changes RRU - 4010-20 Exam coordination RRU - 4200-40 Assignments RRU - Grades, Exams RRU - 4200-75 Major Projects. Waterloo - TL60 - Instructor Grade Records - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl60-instructors-grade-records-20181017.pdf> Waterloo - TL32 - Course Evaluation - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl32-course-evaluation.pdf> Waterloo - TL55 – Examination Papers and Course Assignments - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl55-exam-papers-course-assignments.pdf> SFU - rrsda 2015-001 - exam invigilation recordings, rrsda 1995-018 - examination papers and course assignments - <http://www.sfu.ca/archives2/dur-rrsdas/2015-001.html> SFU - rrsda 1998-034 - instructor / course evaluations: faculty instructor / course evaluations (draft) - <http://www.sfu.ca/archives2/dur-rrsdas/1998-034.html> SFU - rrsda 1999-045 - Personnel Files: Teaching Support Staff Union (TSSU) Employment Files - <http://www.sfu.ca/archives2/dur-rrsdas/1999-045.html> SFU - rrsda 1999-006 - independent contractors - <http://www.sfu.ca/archives2/dur-rrsdas/1999-006.html> Against: UBC (summary is kept for employee file) -

Ceremony Management

Description:

Records relating to the management of graduation ceremonies.

Redirects:

No Redirects

Retention:

Keep one copy of the program and the convocation roll for seven years, then send to archives. Keep all other records for seven years, then destroy.

PIB:

no

Authorities:

Convocation program and roll are kept for seven years to support department knowledge. They are ultimately destroyed because they document names of students who graduate, reflecting a core function of the university. This information is not captured elsewhere: records in the category 'Student Record Maintenance' is not sent to archives. Administrative records relating to ceremony management are destroyed because documentation of administrative function is captured in policies and procedures. Precedence: University of Victoria, Royal Roads University.

Relevant links:

Uvic - gv085-04 - Convocation cards - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=88> Uvic - gv085-06 - Convocation programs - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=90> Uvic - gv085-20 - Convocation - diplomas - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=91> Uvic - gv140 - Convocation roll - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=142> RRU - 2750-30 Convocation Roll

Curriculum Quality Management

Description:

Records representing an internal review of an academic program. Also known as audit, annual program review or departmental review.

Redirects:

For curriculum reviews relating to an accreditation process carried out by a third party, see Accreditation.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

yes

Authorities:

Record relating to Curriculum Quality Management are kept for seven years to support staff knowledge. They are ultimately sent to archives because they represent an information-rich analysis of one of the core function of the university, which is, the delivery of education. Precedence: Waterloo, Queens, McGill, Dalhousie.

Relevant links:

Queens - EX3310 Cyclical Program Review (CPR) - <http://records-retention.library.queensu.ca/directory-records.php?series=EX3310.34> McGill - 1.057 - Cyclical Reviews - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-057> Waterloo - TL15 - Graduate Program Review - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl15-graduate-program-rev.pdf> Dal - TL32 - Program Reviews

Academic Year Scheduling

Description:

Records relating to the academic calendar, which defines academic year terms and notable dates such as course drop deadlines, application deadlines for graduation, as well as a general guide to navigating the university.

Redirects:

For timetables relating to the scheduling of courses and exams, see Timetable Management.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

no

Authorities:

Academic calendars are kept for seven years to support staff knowledge. They are ultimately sent to archives because they perform as a contract between students and the university (and may need to be consulted in the event of a dispute) and because they provide a contextual framework for many records generated by the university. Precedence: University of Victoria, Royal Roads University, Queens, Waterloo.

Relevant links:

UVic - gv075-06 - published calendar. <http://webapp.library.uvic.ca/uvicrecords/more.php?id=139> RRU - 280-10 - RRU Academic calendar Queens - OP9900-30 - Academic Calendar Coordination - Calendar Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP9900.30> Waterloo - TL05 - Academic Calendars - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl05-academic-calendars-20181017.pdf>

Learning & Teaching Delivery

Description:

Records relating to the delivery of courses. Includes the content of online courses, handouts, and lecturer's notes.

Redirects:

For program and course outlines, see Program & Course Development. For exams, course evaluations, student work, and grade appeals, see Learning & Teaching Assessment.

Retention:

Keep records for three years from date the course is finished, then destroy.

PIB:

no

Authorities:

Records relating to teaching and learning delivery are kept for three years because they may be needed to shed light on grades, which are subject to a one year retention under FIPPA (Freedom of Information and Protection of Privacy Act [RSBC 1996] CHAPTER 165 s 31). Students at Royal Roads are more likely to refer back to earlier courses than at other institutions due to the online nature of the learning; three years is the approximate duration of a student's program. Records are ultimately destroyed because evidence of this function is captured more concisely in the category Program & Course Development.

Relevant links:

RRU - 4700-50 Masters - Instructional Materials Against (instructor files go to archives after review by archivist): SFU - rrsda 1999-002 - Course Files - <http://www.sfu.ca/archives2/dur-rrsdas/1999-002.html>

Student / Industry Partnerships

Description:

Records relating to the administration of practicum and co-operative education experiences.

Redirects:

For criminal record checks, see Student Record Maintenance.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Summaries of practicums and co-op education experiences are kept for seven years to provide administrative support. Records are ultimately destroyed because evidence of a practicum is found in the student record maintenance category. Precedence: Waterloo, University of Victoria.

Relevant links:

Uvic - sr120 co-operative education students - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=291>
Uvic - sr125 practica - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=84> Waterloo - TL72 –
Internships and Practica - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl72-internships-practica-20190328.pdf> Against (sends to archives): McGill - 5.019 -
Practicums and Internship Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-5/details#schedule-rule-5-019>

Timetable Management

Description:

Records relating to the scheduling of courses and exams. Includes timetables printed for individual students.

Redirects:

For records relating to general course administration, see Course Administration. For records relating to the official academic calendar, see Academic Year Scheduling.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to timetable management are kept for seven years to support staff knowledge. They are ultimately destroyed because timetables do not represent new data, and evidence of timetables can often be found in other records, such as those falling under Program & Course Development and Course Maintenance Records. Precedence: Royal Roads University, McGill, Queens.

Relevant links:

McGill - 7.011 - Course and Exam Timetables - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-7/7-teaching-research#schedule-rule-7-011> RRU - 4000-30 Course Scheduling
Queens - OP9700-40 Academic Timetable Management - Timetable and Course Database - <http://records-retention.library.queensu.ca/directory-records.php?series=OP9700.40> Against (sends to archives/permanent) -
Waterloo - TL82 – Schedule of Classes - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl82-schedule-of-classes.pdf>

Course Maintenance Records

Description:

Records representing the central repository of courses.

Redirects:

For records relating to the administration of a program area, see Course Administration. For records relating to the official academic calendar, see Academic Year Scheduling.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

no

Authorities:

Records relating to the central repository of courses are kept for seven years to support staff knowledge. Records are ultimately sent to archives because (a) detailed course information is useful for the transfer credit process and (b) because the information represents crucial evidence of the university's core function.

Relevant links:

McGill - 7.028 - Course Tables (principal record) - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-7/7-teaching-research#schedule-rule-7-028> Waterloo - TL27 – Course Catalog - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl27-course-catalog-20181017.pdf> Against (destroys records): Queens - OP9700-40 Academic Timetable Management - Timetable and Course Database -<http://records-retention.library.queensu.ca/directory-records.php?series=OP9700.40>

Program Marketing Research

Description:

Records relating to higher education market research, analysis and planning. Covers academic program concepts, proposals, and market analysis.

Redirects:

For curriculum planning, see Program & Course Development. For marketing the university as a whole, see Marketing Management.

Retention:

Keep records for seven years from the date of creation, then destroy.

PIB:

no

Authorities:

Records relating to program marketing analysis are kept for seven years to support staff knowledge. Records are ultimately destroyed because the research process often generates information not specific to Royal Roads University, and can be difficult to interpret for those unfamiliar with the immediate context. Additionally, the evidence of this function is captured in categories such as Strategic Plans, and Program and Course development files. Precedence: Royal Roads University.

Relevant links:

RRU - 250-20 Market Research - Research RRU - 3100-30 Academic Program Concepts - Market Analysis

Program & Course Development

Description:

Records pertaining to the development of courses and programs. Includes curriculum development, instructional design, course overviews, outlines and syllabi. Encompasses records from all program areas, including continuing studies and professional programs.

Redirects:

For the administration of courses, see Course Administration.

Retention:

Keep records for two years from the date of creation, then destroy.

PIB:

no

Authorities:

Program descriptions and course outlines are destroyed because an indepth representation of each course in Moodle is transferred to the central repository of courses.

Relevant links:

RRU - 4700-05 - Masters - Program outlines RRU - 3100-25 - Academic Program Concepts - Program Development Projects RRU - 2040-20 - Instructional Design and Delivery - Conceptual design files RRU - 3050-30 - Teaching - Philosophy of Learning Projects SFU - rrsda 1999-002 - Course Files - <http://www.sfu.ca/archives2/dur-rrsdas/1999-002.html> Athabasca - (slightly different - sends all course design files for review by archivist) - TL050-05 - Academic Program Development - Planning and Design Athabasca (slightly different - includes proposals, evaluations, approvals, marking schemes, etc)- TL100-05 - Teaching - Course Development Against (keeps committee files) - Uvic - gv420-20 - senate committee on curriculum - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=271> Against (keeps committee files) - Uvic - gv420-45 - senate committee on learning and teaching - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=275>

Eligibility Assessment

Description:

Records that relate to a student's eligibility for graduation. Includes applications to graduate, as well as graduation requirements.

Redirects:

No Redirects

Retention:

Keep records for two years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records are kept for two years to support staff knowledge. Records are ultimately destroyed because graduation requirements are captured in other categories (Academic Calendar) and the names of graduate are captured in Ceremony Management. Precedence: Royal Roads University, University of Victoria.

Relevant links:

Uvic - gv085-02 convocation - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=141> RRU - 2750-03 graduation - graduation requirements

Future Student Engagement

Description:

Records pertaining to the recruitment and engagement of prospective students. Includes records relating to agents.

Redirects:

For advertisements, see Advertising Management. For the market analysis of academic programs see Program Marketing Research. For marketing in general, see Marketing Management.

Retention:

Keep records relating to a person who has expressed interest in attending Royal Roads for seven years from the date the person opts out of receiving emails, then destroy.

PIB:

yes

Authorities:

Records relating to prospective student engagement are kept for seven years to support staff knowledge. The program that automates the destruction of future student files is triggered by the date an applicant decides to opt out of receiving emails. Records are ultimately destroyed because high-level strategies relating to student engagement are captured elsewhere (such as Marketing Management).

Relevant links:

Waterloo - ST15 – Prospective Students - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/st15-prospective-students.pdf> Waterloo - ST18 – Student Recruitment Activities - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/st18-student-recruitment-activities.pdf>

Admission Evaluation

Description:

Records generated in the process of formulating a criteria for acceptance into RRU.

Redirects:

For deliberations on the admissibility of individual applicants, see Admission Evaluation. For criteria relating to transfer credits, see Credit for Prior Learning.

Retention:

Keep eligibility requirements for two years from the date of record creation, then send to archives.

PIB:

no

Authorities:

Records relating to admission evaluations are kept for archives because fundamental purpose of the university is to serve the public. Admissions evaluations shed light on the intersection of the university and the public. Precedence: Royal Roads University, Simon Fraser University.

Relevant links:

RRU - 2710-20 Admissions - eligibility requirements SFU - rrsda 2000-018 - committee to review university admissions (crua) files - <http://www.sfu.ca/archives2/dur-rrsdas/2000-018.html>

Course Administration

Description:

Records relating to the administration of courses. Includes class lists, course add / drop forms, grade change forms, reading lists, course book requisition forms, lectures, notes, working papers and teaching material.

Redirects:

For program and course outlines, see Program & Course Development. For exam, course evaluations, and grade appeals, see Learning & Teaching Assessment. For class and exam timetables, see Timetable Management.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to the administration of courses are destroyed because the information represented in such records is captured more concisely in Policy and Procedure Management Categories. Precedence: Royal Roads University, Simon Fraser University.

Relevant links:

Dal - TL12 - Course Scheduling RRU - 4700-25 Course Administration SFU (slightly different - in addition to course outlines keeps sample exams and summary report)- rrsda 1999-002 - Course files - <http://www.sfu.ca/archives2/dur-rrsdas/1999-002.html>

Credit for Prior Learning

Description:

Records connected to the process of giving a student credit for prior learning. Includes course challenges, transfer credits, and flexible learning assessments.

Redirects:

No Redirects

Retention:

Keep records for 80 years from the date of the student's initial application to Royal Roads, then destroy.

PIB:

yes

Authorities:

Credit for Prior Learning decisions are carried out by program leads, but the final (official) documentation becomes part of the student file and requires the same retention as the student file for ease of records management.

Relevant links:

Uvic - sr020 transfer credit - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=85> RRU - 3400-20 - flexible assessment - assessment case files

Public Transit Pass

Description:

Records relating to the management of the discount bus pass for students. Includes opt-out requests, lost passes, violations, and administration.

Redirects:

For contracts with the transit company, see Contract Management.

Retention:

Keep records associated with individual passes for seven years after the pass is no longer active, then destroy. Keep all other records for seven years after the date of record creation, then destroy.

PIB:

yes

Authorities:

Records are destroyed because they are administrative in nature, and thus primarily represent repeated information. A seven-year timeframe is considered sufficient to address issues relating to the pass. Precedence: Royal Roads University, Simon Fraser University.

Relevant links:

RRU - 2900-20 Learner and Alumni Services - Bus Passes SFU - rrsda 2014-008 - U-Pass Student Transaction Records - <http://www.sfu.ca/archives2/dur-rrsdas/2014-008.html>

Student Application Processing

Description:

Records generated in the processing of applications for acceptance into RRU. Includes evaluation and appeals of individual applicants.

Redirects:

For eligibility requirements, see Admission Evaluation.

Retention:

If the applicant was successful, transfer to student file. If the applicant was not successful or did not register, keep application for one year from the date of rejection or cancellation, then destroy.

PIB:

yes

Authorities:

Records of unsuccessful applicants are kept for one year to address any issues that may arise and to allow students to understand the decision as per the Freedom of Information and Protection of Privacy Act [RSBC 1996] CHAPTER 165 s 31. Records of successful applicants are transferred to the student file to ensure that staff have the necessary information to serve students.

Relevant links:

SFU - rrsda 1999-007 unsuccessful / withdrawn admissions applications - <http://www.sfu.ca/archives2/dur-rrsdas/1999-007.html> Queens - <https://records-retention.library.queensu.ca/directory-records.php?series=OP4500.31> RRU - 2410-25 admissions - applications - in progress

Student Misconduct

Description:

Records pertaining to student misconduct. For more information on the kind of misconduct that warrants a misconduct file, see Academic Integrity & Misconduct Policy For Students .

Redirects:

For misconduct records that pertain to an original research project, see Researcher Misconduct.

Retention:

Keep records for 80 years from the date of the student's initial application to Royal Roads, then destroy.

PIB:

yes

Authorities:

Misconduct files are kept for 80 years because student misconduct can include sexual assault. The Limitation Act section 3(1)(j) indicates that there is no time limit for a survivor of sexual assault to seek legal remedy, which means these files require a longer retention period to support future claims. Records are ultimately destroyed to ensure that the privacy of students are respected.

Relevant links:

RRU - 2760-40 Academic Probation Waterloo - ST85 - Student Discipline Case Files - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/st85-student-discipline-cases-20181017.pdf> Athabasca - AC150-15 - Investigation and Appeals - Academic misconduct or fraud Against: McGill (sends to archives): 5.016 - Student Discipline Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-5/details#schedule-rule-5-016> Royal Roads University (2017). Academic Integrity and Misconduct Policy For Students. Retrieved from <http://policies.royalroads.ca/policies/academic-integrity-and-misconduct-policy-students>

Student Record Maintenance

Description:

Records that represent an official interaction between a student and RRU. Includes approved credits for prior learning, finalized grades, grade changes, transcript requests, records relating to the death of current students, summaries of misconduct, and criminal record checks.

Redirects:

For records covering misconduct unrelated to original research projects, see Student Misconduct. For records covering misconduct related to original research projects, see Researcher Misconduct.

Retention:

Keep records for 80 years from the date of initial application to RRU, then destroy.

PIB:

yes

Authorities:

Records in the Student Record Maintenance categories are kept for 80 years to support administrative matters relating to the student and to provide proof of educational credentials. This retention also ensures that if the student participated in a study, co-op, or practicum with vulnerable people, the university can provide proof that it has done its due diligence in conducting record checks. (The Criminal Records Review Act, R.S.B.C. 1996, c.86, s. 10(1)(a) indicates that the responsibility for record checks rests with employers). This is especially important because the Limitation Act provides no limit in the length of time that a minor or a sexual harassment victim can bring forward charges. Ultimately, records are destroyed to ensure that the privacy of students are respected. Precedence: Royal Roads University, Athabasca.

Relevant links:

RRU - 2760-30 Learner Academic Records learner academic records - paper Athabasca - AC050-35 - Admissions - Student Records, AC050-30 - Admissions - Banner (Electronic System). Against (keeps records permanently): Uvic - SR030-20 Student Academic Records - Undergraduate, Dal - ST47 - Student Information System (Banner) Against (keeps bio, grades, academic records and academic changes permanently): Queens - OP4000/5000 - Student Records Management - <http://records-retention.library.queensu.ca/directory-records.php?schedule=OP4100> Against (keeps records permanently): Dal - ST47 - Student Information System (Banner) Against (keeps records permanently): McGill - 5.001 - Student Records Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-5/details#schedule-rule-5-001>

Academic Advice

Description:

Records pertaining to academic advice, including requests for medical or counselling appointments, letters of permission, transfer and re-admission forms.

Redirects:

No Redirects

Retention:

Keep records for four years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records pertaining to academic advice are destroyed at the four-year mark because four years is sufficient time to track ongoing cases, and yet short enough to reduce the number of records exposed during a breach. Precedence: Simon Fraser University, Dalhousie.

Relevant links:

SFU - rrsda 2000-017 - student advising files - <http://www.sfu.ca/archives2/dur-rrsdas/2000-017.html> Dal - ST71 - Student Support Services - Case Files

Academic Skills Development

Description:

Records that cover the process of developing the academic skills of students. Includes reference questions, writing and research workshops, team dynamics coaching, and guides.

Redirects:

For training records where the emphasis is to produce good research, see Researcher Training.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to academic skills are destroyed because they represent information that is found in published resources, and thus do not shed light on the particular character of Royal Roads University. The seven-year retention ensures that past information is available for revisions and updates. Precedence: Royal Roads University, Queens.

Relevant links:

RRU - 2400-20 - Research and information literacy instruction - research and information literacy sessions
RRU - 3050-40 Teaching - writing centre administration Queens - OP2220-31 Library Reference, Research and Instructional Services - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2220.31>

Careers Advice

Description:

Records that document career and employment support given by the university. Includes employer case files, student case files, alumni assistance, casual worklists, educational material, and sign-up lists.

Redirects:

For records pertaining to practicum and Co-operative education work experiences, see Student / Industry Partnerships.

Retention:

Keep records for two years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Record relating to career advice are destroyed because they represent information relating to a changing job market. The information thus becomes irrelevant quickly. Precedence: University of Victoria, Royal Roads University.

Relevant links:

Uvic - SS465-02 Career advisory services - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=134> RRU
- 2960-20 Career Counselling Services - General

Accessibility Services

Description:

Records that document the activity of supporting students with disabilities. Includes files pertaining to individuals, contracts with services providers, the conversion of textbooks into different formats, and records pertaining to awareness programs.

Redirects:

For grants and scholarships, see Student Award & Financial Aid.

Retention:

Keep student file for five years from the date the student is no longer registered at the university, then destroy. Students who return to the university within five years will have their file reactivated.

PIB:

yes

Authorities:

Records relating to the support of students facing accessibility challenges are kept for five years to ensure staff have the information they need to serve students. This retention also satisfies the requirements of the College of Psychologists British Columbia (13.1 Length of record retention) and helps students who may be audited on their accessibility-related student aid seven years after they graduate (STUDENT FINANCIAL ASSISTANCE SERVICES - Schedule 117457, secondary 40210-20). Records are ultimately destroyed to ensure the privacy of students are respected. Records Precedence: Royal Roads University, Simon Fraser University, Dalhousie.

Relevant links:

RRU - 2980-20 Services for learners with a disability - learners with a disability files Dalhousie - ST71 Student Support Services Case Files SFU - rrsda 2004-003 - student disability case files - <http://www.sfu.ca/archives2/dur-rrsdas/2004-003.html> Waterloo (slightly different - ten years) - HS10 – Persons with Disabilities Client Files - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hs10-persons-with-disabilities-clients-20191113.pdf> McGill (slightly different - destroys when student leave university) - 8.008 - Disabled Student Files -<https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-8/8-clients-files#schedule-rule-8-008> College of Psychologists of British Columbia (2014). Code of Conduct. Retrieved from <http://www.collegeofpsychologists.bc.ca/docs/10.CPBCCodeofConduct.pdf>

Indigenous Student Services

Description:

Records that document programs for students with Indigenous heritage. Includes mentoring and tutoring programs, cultural spaces for students, partnerships with external parties, cultural activities, and student assistance.

Redirects:

For records pertaining to the physical construction of cultural spaces, see Buildings & Facilities Management.

Retention:

Keep records for five years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to the support of students with Indigenous heritage are kept for five years to ensure continuity of service and to support staff knowledge. Records are ultimately destroyed to ensure the privacy of students are respected. Royal Roads University previously kept student support records for seven years. It is recommended to shorten the timeframe given the increased possibility of a breach during the digital era. Precedence: none.

Relevant links:

International & Exchange Studies

Description:

Records that document the coordination and administration of student exchanges between RRU and other universities. Includes the registration forms of unsuccessful candidates.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to the support of students on exchange are destroyed to ensure the privacy of students are respected. Records are kept for seven years to ensure that any financial exchanges are kept in compliance with the Income Tax act ((Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Precedence: Simon Fraser University.

Relevant links:

SFU - RRSDA 2007-004 - Exchange Student Case Files - <http://www.sfu.ca/archives2/dur-rrsdas/2007-004.html> Waterloo - TL70 – Exchange Programs - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl70-exchange-programs-20190328.pdf>

Student Award & Financial Aid

Description:

Records that cover the administration of awards and financial aid. Includes both accepted and rejected applications, nominations, award committee minutes, speeches, notices of award, bursaries, Federal and US student loans and emergency loans.

Redirects:

For honorary degrees, see Community Relations Management.

Retention:

Keep records relating to the establishment of awards, and successful award winners, for seven years, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to the establishment of awards and award winners are kept for seven years to support staff knowledge. Records are ultimately sent to archives to ensure that any awards based on donations meet Income Tax Regulations requirements, which states that a donation accompanied by a condition that will last for more than ten years must be kept for two years after the recipient's status as a charity is revoked (Income Tax Regulation CRC, c. 945 Part LVII). Records relating to award winners are sent to archives because they document significant achievements by Royal Roads University students, and one of the core functions of the university is to facilitate these achievements. Doing so also ensure that awards can be verified. Precedence: Royal Roads University, Simon Fraser University, Athabasca, Waterloo.

Relevant links:

SFU - rrsda 2001-011 - entrance award application files - <http://www.sfu.ca/archives2/dur-rrsdas/2001-011.html> Dal - ST32 - Scholarships, Bursaries and Awards - Program Files Dal - ST33 - Scholarships, Bursaries and Awards - Case Files RRU - RRU award programs - RRU convocation awards Athabasca - AC100-15 Credentials - Awards and Recognition Waterloo - ST25 – Scholarships, Bursaries, and Awards - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/st25-scholarships-bursaries-awards.pdf> UBC - 001-05 - Entrance Scholarship Award Applications - https://recordsmanagement.ubc.ca/files/2014/09/sched_1-05.pdf Against (destroy because awards are captured in student information system): UBC - 001-01 - Student Financial Aid Dockets - https://recordsmanagement.ubc.ca/files/2014/09/sched_1-01.pdf

Student Health & Wellbeing

Description:

Records that capture information relating to student health and well-being, including student counselling records, educational brochures, and workshop materials.

Redirects:

No Redirects

Retention:

Keep student file for ten years from the date the student is no longer registered at the university, then destroy. Students who return to the university within ten years will have their file reactivated.

PIB:

yes

Authorities:

Records relating to the counselling of students are kept for ten years to ensure that counsellors have the information they need to support students. This retention also satisfies the requirements of the College of Psychologists British Columbia (13.1 Length of record retention). Records are ultimately destroyed to protect the privacy of the students.

Relevant links:

Athabasca - SS050-10 - Counselling - Advising Dal - ST60 - Clinical Counseling - Case Files Queens - OP3520-30 - Psychology Clinic Patient Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP3520.30> McGill (slightly different - four year retention) - 8.002 - Counselling Client Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-8/8-clients-files#schedule-rule-8-002>

Advertising Management

Description:

Records relating to the advertising for the university. Includes advertisements, displays at tradeshow, television commercials, and records relating to promotional trips.

Redirects:

For strategy relating to marketing, including trademarks, see Marketing Management. For travel expenses, see Procurements & Purchasing.

Retention:

Keep ads and the associated artwork for seven years from the date of record creation, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to advertisements are kept for archives because they occupy the intersection of the institution and the public: they can be analysed to show how the university presented itself, and the reaction they anticipated would be experienced by viewers. Visual material can also be useful for creating compelling archival exhibits. Precedence: Royal Roads University, Queens, Athabasca, McGill.

Relevant links:

Queens - OP4911-31 - Coordination of Recruitment - Graduate Programs - Graduate Program Promotional Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP4911.31> Athabasca - CO250-15 - Communications - Publications RRU - 205-20 Advertising - Advertising McGill - 1.035 Marketing and Publicity Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-035>

Marketing Management

Description:

Records relating to the activity of marketing RRU, including research, strategy and trademarks.

Redirects:

For marketing research relating to academic trends, see Program Marketing Research. For advertisements, see Advertising Management.

Retention:

Keep trademark records for seven years from the date of the trademark is no longer in use, then send to archives. Keep all other records for seven years, then destroy.

PIB:

no

Authorities:

Records relating to trademarks are kept for archives because they are valid in perpetuity so long as they are renewed. Therefore, documentation supporting trademark claims must similarly be kept in perpetuity. All other records are destroyed because the university's branding is captured in other records, namely, Media Relations and Advertising Management. Precedence: Simon Fraser University, Athabasca.

Relevant links:

SFU - RRSDA-2009-11 - Trade-mark Files - <http://www.sfu.ca/archives2/dur-rrsdas/2009-011.html>
Athabasca - CO300-05 - Copyright and Trademark - Intellectual Property Trademarks Act (R.S., 1985, c. T-13)

Buildings & Facilities Management

Description:

Records relating to the management of facilities, buildings, and properties. Includes maintenance, the purchase of equipment and consumables, waste removal services, janitorial services, snow removal services, as well as files relating to construction and renovations.

Redirects:

For contracts, see Contract Management. For request for proposals, see Procurement & Purchasing. For key issuance, see Campus Security.

Retention:

Keep records relating to construction and refits for seven years from the date the record is no longer used, then send to archives. Keep all other records for seven years, then destroy.

PIB:

no

Authorities:

Records relating to the physical structure of buildings are kept for seven years to support staff knowledge. Records are ultimately sent to archives to ensure they are available for facilitating future decisions relating to the construction of the buildings. Records unrelated to buildings are ultimately destroyed because a more concise summary of the function are documented elsewhere (such as Media Relations, Policy Management, or Procedure Management). Precedence: Royal Roads University, Queens, Dalhousie, McGill.

Relevant links:

RRU - 0905-50 - Building - Plans Queens - AD6200-30 - Construction and Engineering Project Management - Building Plans - <http://records-retention.library.queensu.ca/directory-records.php?series=AD6200.30>
Dalhousie - FP30 - Building Plans McGill - 6.022 - Plans, Maps and Specifications - Buildings and Grounds - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-6/details#schedule-rule-6-022>

Campus Parking

Description:

Records relating to the management of parking and parking issues on campus. Includes impounds, tickets, parking passes, fines and traffic control.

Redirects:

For records relating to ICBC's requests for auto-related information, see Information Search & Discovery.

Retention:

Keep records relating to parking issues, such as tickets, contested tickets and impoundments, for seven years from the date the issue is resolved, then destroy. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records are kept for seven years in accordance with the Income Tax Act (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are ultimately destroyed because they are repetitive and thus do not bring new information to the archives. Precedence: Royal Roads University, Simon Fraser University.

Relevant links:

RRU - 945-30 - PARKING AND TRAFFIC MANAGEMENT - Fines - Parking and Traffic Violations SFU - rrsda 2009-004 - parking management records - <http://www.sfu.ca/archives2/dur-pibs/2009-004.html> Against: Dal (three year retention) - CS80 - Parking Services

Campus Security

Description:

Records relating to the provision of security services to campus. Includes patrol reporting records, incident reports, key issuance, photo identification cards, and closed circuit television recordings.

Redirects:

For records relating to financial transactions, see the relevant subcategory in Finance.

Retention:

Keep video recordings from CCTV cameras for 30 days, then destroy. Keep photo identification cards seven years from the date the individual has left the organization, then destroy. Keep all other records for seven years, then destroy.

PIB:

yes

Authorities:

Records relating to CCTV footage is destroyed within thirty days in accordance with recommendations from the Office of the Information and Privacy Commissioner (Public Sector Surveillance Guidelines). Photo identification cards are kept for the duration of an employee's tenure to facilitate the resolution of security issues. A seven-year timeframe for the remaining security records is considered sufficient to address issues relating to security. Ultimately, these records are destroyed because the activity of managing security is represented more concisely elsewhere (Media Relations, Policy Management or Procedure Management).
Precedence: Royal Roads University, Simon Fraser University, Queens.

Relevant links:

Office of the Information and Privacy Commissioner (2014). Public Sector Surveillance Guidelines. Retrieved from [https://www.oipc.bc.ca/guidance-documents/1601 RRU - 955-40 - Video Surveillance Tapes SFU - RRSDA 2009-002 - CCTV \(Closed Circuit Television\) Recordings - http://www.sfu.ca/archives2/dur-rrsdas/2009-002.html](https://www.oipc.bc.ca/guidance-documents/1601_RRU_-_955-40_-_Video_Surveillance_Tapes_SFU_-_RRSDA_2009-002_-_CCTV_(Closed_Circuit_Television)_Recordings_-_http://www.sfu.ca/archives2/dur-rrsdas/2009-002.html) Queens - OP2400-40 Campus Security and Emergency Services - CCTV (Closed Circuit TV) Recording - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2400.40> Against: Waterloo (60 days) - HS85 – Surveillance Videorecordings - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hs85-surveillance-video.pdf>

Commercial Tenancy

Description:

Records pertaining to the tenants of RRU. Includes leases and inspections.

Redirects:

For records relating to the maintenance of buildings inhabited by tenants, see Buildings & Facilities Management. For records relating to financial transactions, see the relevant subcategory under Financial. For accommodations for students, staff and faculty, see Accommodations Management.

Retention:

Keep leases and other documentation of a tenancy for seven years after the end-date of the tenancy, then destroy. Keep all other documents for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to tenants and leases are kept for seven years after the ending of the tenancy because they represent income, and are thus subject to the Income Tax Act. Records are destroyed because the information they contain is not usually relevant to the university's mission of delivering teaching and learning material. Precedence: Royal Roads University, Simon Fraser University.

Relevant links:

SFU - rrsda 1995-016 - discovery park tenant licence of occupation and correspondence files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-016.html> RRU - 0965-20 - tenant relations - tenant

Environmental Management Services

Description:

Records relating to the management of RRU's environmental programs, including programs relating to energy reduction, waste reduction, and recycling.

Redirects:

For records relating to the management of the natural spaces surrounding RRU, see Grounds Maintenance. For audits of waste or emissions, see Audits.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to environmental programs are kept for seven years to support department knowledge. They are ultimately destroyed because the information represented in these records are captured more concisely in the Media Relations Categories. Precedence: Royal Roads University.

Relevant links:

RRU - 920-20 Environmental management - energy RRU - 920-35 Environmental management - recycling
RRU - 920-40 Environmental management - waste reduction Against (keeps audit reports): Queens - AD6700-31 - Waste Audit Sustainability - <http://records-retention.library.queensu.ca/directory-records.php?series=AD6700.31> Against (keeps audit reports): Queens - AD6700-32 - Sustainability - Green House Gas Inventory - <http://records-retention.library.queensu.ca/directory-records.php?series=AD6700.32> Against (keep waste projects of large size): Athabasca - FS100-20 - Asset or Service Use - Disposal and Decommissioning

Fleet Management

Description:

Records relating to the management of vehicles. Includes maintenance records, copies of driver's licenses, and sign-out sheets.

Redirects:

For accidents involving vehicles, see Health & Safety. For insurance claims involving vehicles, see Insurance. For the management of the vehicle's financial worth, see Asset Management.

Retention:

Keep records relating to the maintenance and performance of the vehicle for seven years from the date the vehicle is no longer in use, then destroy. Keep driver's license records for two years from the date of the driver is no longer employed at the university, then destroy. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to vehicles are kept for the duration of the life of the vehicle in accordance with Occupational Health and Safety Regulation, B.C. Reg. 296/97 17.2.2. Licenses are kept for the duration of the worker's employment because employers are responsible for ensuring that workers have a valid driver's license, as indicated in Occupational Health and Safety Regulation, B.C. Reg. 296/97 s 4.9.3. Precedence: BC Gov, University of Victoria.

Relevant links:

BC Government - ARCS-877-20 - Motor vehicle history files - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/equipment-supplies-records/transportation> Uvic - SA300 - Motor Pool Services - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=242>

Grounds Maintenance

Description:

Records relating to the process of maintaining the gardens and the natural space of RRU. Includes researching documents, inventories, maps, and acquisition lists.

Redirects:

For donations to the gardens, see Donors & Advancement.

Retention:

Keep plant inventories, maps, garden design plans, collection management plans, acquisition lists and accession files for seven years, then send to archives. Keep all other records for seven years, then destroy.

PIB:

no

Authorities:

Records relating to gardens at Royal Roads University are kept for seven years to support department knowledge. Records are ultimately sent to archives because Hatley Park is recognized as a federal heritage site and documentation on gardens is useful for maintaining the historical character of the gardens. Precedence: none.

Relevant links:

Park Canada (no date). Parks Canada Directory of Federal Heritage Designations. Retrieved from https://www.pc.gc.ca/apps/dfhd/page_fhbros_eng.aspx?id=2512

Accounts Payable

Description:

Records relating to an accounting entry that represents an unpaid bill or expense that RRU owes to creditors or suppliers. Includes signing authorities, cost centres, status reports, stipends, and transaction files.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to accounts payable are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are ultimately destroyed because major transactions are captured in other records. Precedence: University of Victoria, Simon Fraser University, Royal Roads University.

Relevant links:

Queens - AD2500-32 University Accounting - Accounts Payable - <http://records-retention.library.queensu.ca/directory-records.php?series=AD2500.32> Uvic - FM155-20 Accounts Payable - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=282> SFU - RRSDA 1995-001 - Accounts Payable Transaction Files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-001.html> RRU - 355-20 Accounts Payable Royal Roads University (2013). Stipend Policy. Retrieved from <http://policies.royalroads.ca/policies/stipend-policy>

Accounts Receivable

Description:

Records relating to an account entry that represents a credit that RRU has extended to others.

Redirects:

For records relating to tuition and tuition waivers, see General Ledger.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to accounts receivables are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Precedence: University of Victoria, Simon Fraser University, Royal Roads University.

Relevant links:

SFU - rrsda 1997-027 - Accounts Receivable Clerk General Files - <http://www.sfu.ca/archives2/dur-rrsdas/1997-027.html> UVic - fm155-30 - Accounts Receivable - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=166> RRU - 360-20 - Accounts Receivables Queens - AD2500-30 University Accounting - Accounts Receivable - <http://records-retention.library.queensu.ca/directory-records.php?series=AD2500.33>

Asset Management

Description:

Records relating to the financial management of moveable property owned by the university. Includes furniture, fixtures, boilers, chillers, and vehicles.

Redirects:

For assets relating to intellectual property, see Commercialise Outcomes. For the use and management of building assets, see Buildings & Facilities Management. For the use and management of vehicles, see Fleet Management.

Retention:

Keep records for seven years from the date the asset has been relinquished, then destroy.

PIB:

no

Authorities:

Records relating to assets are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate - which in this case, is the year the asset is relinquished (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Precedence: Royal Roads University, Queens, Athabasca.

Relevant links:

RRU - 360-02 - Fixed Assets - Fixed Asset Inventory Athabasca - FS100-05 - Asset or Service Use - Tracking and Monitoring Queens (slightly different - keeps data for 35 years from date of creation, instead of 7 years after asset relinquished) - AD6300-40 Physical Properties Maintenance and Custodial Services - Asset Management System - <http://records-retention.library.queensu.ca/directory-records.php?series=AD6300.40>

Bank Management

Description:

Records relating to the establishment, maintenance, and termination of University bank accounts. Includes deposits, bank reconciliations, and account statements.

Redirects:

For records relating to charge cards and the exchange of money within RRU, see Procurements & Purchasing. For records relating to nonsufficient funds, see Accounts Receivable.

Retention:

Keep bank account documentation for seven years from the date of bank account closure. Keep all other bank information for seven years from the date of creation.

PIB:

no

Authorities:

Records relating to bank management are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Precedence: Royal Roads University, University of Victoria, McGill, Queens, Waterloo.

Relevant links:

RRU - 365-20 Banking and Cheque Management Uvic - FM155-40 Bank Account Records - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=167> Queens - AD2600-30 Banking - Banking Records - <http://records-retention.library.queensu.ca/directory-records.php?series=AD2600.30> McGill - 3.108 - Bank Deposits - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-108> Waterloo - FN30 - Banking and Cash Administration - https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/fn30-banking-cash-admin_0.pdf

Budgeting & Costing

Description:

Records that represent budgets (university and departmental), internal transfers, and budget letters from the government.

Redirects:

For financial statements, see Financial Reporting.

Retention:

Keep the university budgets and budget letters for seven years from the date of record creation, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to budgets are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are ultimately kept because the distribution of funds can be used to understand the values and priorities of the university. Precedence: University of Victoria, McGill, Athabasca, Dalhousie.

Relevant links:

McGill - 3.003 - Budget Files <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-003> Uvic - FM060-20 - Budget -<http://webapp.library.uvic.ca/uvicrecords/more.php?id=46> Athabasca - FI050-10 - Budgeting - Budget Development Dal - FN41 - University Budgets Against (destroys records): RRU 975-20 Budgets - Approved Budgets

Cash Management

Description:

Records relating to the management of cash. Includes cash receipts, cash reports, petty cash, and cash management.

Redirects:

For credit extended to external parties, see Accounts Receivable. For tax receipts, see Tax Liability Management. For bank management, see Bank Management.

Retention:

Keep records for seven years after the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to cash management are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Precedence: Royal Roads University, University of Victoria, Simon Fraser University.

Relevant links:

RRU - 370-30 - Cash management - Cash transactions SFU - rrsda 1995-014 - petty cash transaction files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-014.html> UBC - 002-03 - Cashier - https://recordsmanagement.ubc.ca/files/2014/09/sched_2-03.pdf

Debt Management

Description:

Records relating to the management of debt. Includes debt incurred by RRU, and debt owing to RRU through tuition and library fines.

Redirects:

No Redirects

Retention:

Keep records for seven years after the date the debt has been settled, then destroy.

PIB:

yes

Authorities:

Records relating to debt management are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Precedence: Royal Roads University, Simon Fraser University.

Relevant links:

RRU - 360-20 Debt Management - Short-term borrowing SFU - rrsda 1997-046 - Collections officer's files - <http://www.sfu.ca/archives2/dur-rrsdas/1997-046.html>

Financial Analysis

Description:

Records that represent the analysis behind financial statements.

Redirects:

For financial statements, see Financial Reporting. For Budgets, see Budgeting & Costing.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to financial analysis are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are destroyed at the end of their designated lifespan because the information in these records are better represented in finalized financial statements. Precedence: Queens, Royal Roads University.

Relevant links:

Queens - AD2500-34 University Accounting - Financial Reporting <http://records-retention.library.queensu.ca/directory-records.php?series=AD2500.34> RRU - 385-35 Financial statements and reports Against (sends to archives): McGill - 3.006 - Financial Statements - Working Papers <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-006> Against (sends to archives): Uvic - fm375-04 financial statements <http://webapp.library.uvic.ca/uvicrecords/more.php?id=168>

Financial Reporting

Description:

Records that cover financial statements, especially those produced as a result of an audit.

Redirects:

For records relating to planning, development and tracking of budgets, see Budgeting & Costing.

Retention:

Keep financial statements seven years from the date of record creation, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to financial statements are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are sent to archives at the end of their designated lifespan because financial statements are one of the most complete and accurate representations of the financial situation in an institution. Precedence: University of Victoria, Queens, Waterloo, McGill.

Relevant links:

Queens - AD2500-34 University Accounting - Financial Reporting <http://records-retention.library.queensu.ca/directory-records.php?series=AD2500.34> Waterloo - FN60 – Financial Statements - https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/fn60-financial-statements_0.pdf McGill - 3.004 - Financial Statements - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-004> Uvic - fm375-04 - Financial Statements - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=168>

General Ledger

Description:

Records relating to the general ledger, which records each financial transaction that takes place in relation to the university. Records include sub-ledgers, chart of accounts, tuitions, tuition waivers, residence fees, transactions with vendors, income, distribution reports, and trial balances.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

no

Authorities:

Records relating to the general ledger are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are sent to archives at the end of their designated lifespan because the general ledger is one of the most complete and accurate representations of the financial situation in an institution. Precedence: University of Victoria, McGill, Dalhousie, University of Toronto.

Relevant links:

Uvic - fm155-04 - Financial transactions - general ledger <http://webapp.library.uvic.ca/uvicrecords/more.php?id=164> McGill - 3.046 - General Ledgers - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-003> Dalhousie - FN11 - Accounting - Financial Information System RRU - 0385-40 General Ledger Against (destroys after twenty years): Queens - AD2500-30 University Accounting - General Ledger - <http://records-retention.library.queensu.ca/directory-records.php?series=AD2500.30>

Investment Management

Description:

Records relating to investments. Includes correspondence, details on the investment's progress, and records that document proof that the investment has been acquired.

Redirects:

For records relating to the process of administering pensions to employees, see Pension Management.

Retention:

Keep proof that an investment has been acquired seven years from the date of divestment, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records representing proof of an investment are kept for seven years after the date of divestment to ensure the right to the investment's returns are established. Investment records unrelated to the proof of investment are kept for seven years after the date of creation as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Investment records are not kept for archives because the information they contain can be found in other records, such as the general ledger and financial statements. Precedence: University of Victoria, Waterloo, Queens.

Relevant links:

Uvic - fm230-06 investment certificates - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=171>
Waterloo - FN35 – Operating Investments and Loans - <https://uwaterloo.ca/records-management/records-classification-and-retention-schedules/finance/fn35-operating-investments-loans>
Queens - AD3100-32 Investment Management - Investment Services <http://records-retention.library.queensu.ca/directory-records.php?series=AD3100.32> Against (sends to archives): McGill - 3.054 - Investments: Financial Papers - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-054>

Procurement & Purchasing

Description:

Records relating to procurements and purchasing. Includes purchase orders, requisitions, quotes, price lists, charge cards, request for proposals and emergency purchases.

Redirects:

For records relating to contracts, see Contract Management. For records relating to discount cards for staff, students and alumni, see Internal Stakeholder Management.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to procurements and purchasing are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Investment records are not kept for archives because the information they contain can be found in other records, such as the general ledger and financial statements. Precedence: Queens, Royal Roads University, Simon Fraser University, McGill.

Relevant links:

RRU - 2640-20 Purchase Management - Purchase Orders SFU - rrsda 1995-013 - Purchase Orders - <http://www.sfu.ca/archives2/dur-rrsdas/1995-013.html> Queens - AD2900-31 Procurement - University Procurement Files - <http://records-retention.library.queensu.ca/directory-records.php?series=AD2900.31> McGill - 3.022 - Purchase Orders - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-022> McGill - 3.117 - External Billings (including PCards) - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-017> Against (sends projects of significant size to archives): Athabasca - FS050-10 -Development and Acquisition - Purchasing and Acquisition

Donors & Advancement

Description:

Records relating to generating donations for RRU. Includes endowments, correspondence with donors, donation forms, planned giving, and campaigns to raise funds for RRU.

Redirects:

For tax receipts, see Tax Liability Management. For fundraising events, see Event & Venue Management. For fundraising campaigns where the donors are RRU staff, see Staff Engagement.

Retention:

Keep endowment records for seven years after the endowment ceases to provide income to RUU, then send to archives. Keep all other records for ten years after the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to endowments are kept for archives as required by Income Tax Regulations, which states that a donation accompanied by a condition that will last for more than ten years must be kept for two years after the recipient's status as a charity is revoked (Income Tax Regulation CRC, c. 945 Part LVII). All other records are kept for ten years to facilitate relationship-building with donors, then sent to archives to ensure that background information on donors can always be retrieved. Precedence: Waterloo, University of Victoria, McGill, University of British Columbia.

Relevant links:

Uvic - fm140-30 endowment case files - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=163>
Waterloo - FN50 – Endowment Files - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/fn50-endowment-files-20190328.pdf>
McGill - 3.105 - Endowments: Financial Papers - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-105>
Athabasca - C0100-10 External Relations - Donor Files
UVic - AD165-20 Fundraising - Donors - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=200>
Queens - OP1400-32 Advancement Services - Alumnus/Alumna/Donor Profile - <http://records-retention.library.queensu.ca/directory-records.php?series=OP1400.32>
UBC - 001-03 Donor Files - https://recordsmanagement.ubc.ca/files/2014/09/sched_1-03.pdf
Dal - ER10 - Alumni Case Files Against (destroys receipts): McGill - 3.068 - Donation Receipts - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-068>
Against (destroys solicitation cards): McGill - 3.069 - Donation Solicitation Cards - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-069>

Tax Liability Management

Description:

Records relating to the management of taxes. Includes T4s, T2202s, tax remittances (PST and GST), charitable tax returns, and property taxes.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to taxes are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are destroyed at the end of their designated lifespan because tax information is better captured in finalized financial statements. Precedence: Simon Fraser University, Royal Roads University, University of Victoria, Waterloo.

Relevant links:

SFU - rrsda 1997-020 - t4a forms and registers - <http://www.sfu.ca/archives2/dur-rrsdas/1997-020.html> SFU - rrsda 1997-019 - tuition fee certificate - <http://www.sfu.ca/archives2/dur-pibs/1997-019.html> RRU - 410-25 - taxation - provincial tax remittances, 410-35 - taxation - t4a records, 410-40 Property Tax Assessments Waterloo - FN85 – Taxes and Duties - https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/fn85-taxes-duties_0.pdf Uvic - fm150-06 tuition fees - Canada revenue agency records - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=293>

Audits

Description:

Records that represent audits conducted by both internal and external parties.

Redirects:

For audits of a financial nature, especially financial statements, see Financial Reporting. For internal curriculum reviews, see Curriculum Quality Management. For external curriculum reviews, see Accreditation.

Retention:

Keep external audits for seven years, then send to archives. Keep all other audit records for seven years, then destroy.

PIB:

no

Authorities:

Records relating to external audits are kept for seven years to allow the business area to profit from the analysis. They are ultimately sent to archives because they represent a concise summary of the university's operations. Internal audits are not kept for archives because the views they contain are likely to be found in other records. Precedence: University of Victoria, Dal, McGill, Athabasca.

Relevant links:

Uvic - ad035-20 auditing - internal audits and reviews - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=263>, ad035-30 auditing - external audits, reviews, and investigations - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=261> McGill - 3.007 - Audit Reports - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-007> Dal - FN21 - External Audit Statements Athabasca - CO050-10 - Assessment and Reporting - Quality Control and Management Audit (External) Against (send internal audit files to archives): Athabasca - CO050-05 - Assessment and Reporting - Quality Control and Management Audit (Internal) Against (send internal audit files to archives): Queens - AD2800-31 Internal Audit Services - Internal Audit Files

Business Continuity Management

Description:

Records relating to disaster recovery. Includes plans and initiatives to facilitate the survival of people on campus at the time of the disaster, as well as recovery plans to restart the operations of the university after the emergency takes place.

Redirects:

No Redirects

Retention:

Keep plans for two years from the date the plan has been replaced by a newer version of itself, then send to archives. Keep all other records for seven years, then destroy.

PIB:

no

Authorities:

Records relating to disaster recovery plans are kept for two years until no longer needed to support departmental knowledge. Plans are ultimately sent to archives because they concisely articulate the disaster recovery function, and the essential aspects of the university. Other records are ultimately destroyed because the information they contain is captured more concisely elsewhere, such as plans, policy, and procedure records. Precedence: Royal Roads University, University of Victoria, Dalhousie.

Relevant links:

RRU - 915-25 - emergency preparation and fire protection - disaster recovery plan Uvic - sa100 emergency management - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=239> Uvic - sa150 business continuity planning - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=239> Dal - GV41 - Business Continuity and Disaster Recovery Plans Against (destroys): BC gov - ARCS 275-30 - Business continuity plans - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/disaster-plans-reports>

Complaint & Compliment Management

Description:

Records that represent minor complaints and compliments directed towards RRU.

Redirects:

For major complaints, defined as those that saw the intervention of the ombudsperson or a lawyer, see Dispute Resolution.

Retention:

Keep records for three years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to minor complaints and compliments are kept for three years to allow patterns of complaints to surface. Records are ultimately destroyed because minor issues do not pertain to the core processes of the university. Precedence: Royal Roads University, Dalhousie, Queens.

Relevant links:

Dal - AD20 - Appreciation and Complaints Queens - AD1550-31 - General Inquiries and Complaints - Complaint Files - <http://records-retention.library.queensu.ca/directory-records.php?series=AD1550.31> RRU - 102-30 Appreciation, Complaints, and Inquiries - Complaints

Insurance

Description:

Records relating to insurance, including extended health insurance for students, auto insurance, and property insurance. Includes reports, processing of requests, and risk management assessments.

Redirects:

For staff health insurance, see Benefits Management. For WorkSafeBC claims, see Health & Safety. For contracts with service providers, see Contract Management.

Retention:

Keep claims for seven years from the date the claim is settled, then destroy. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to insurance are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined. As the act states, these records must be kept for six years after the end of the fiscal year to which the records relate (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are destroyed at the end of their designated lifespan because insurance information is better captured in finalized financial statements. Precedence: Royal Roads University, Dalhousie, McGill.

Relevant links:

RRU - 400-20 Insurance - Insurance Claims McGill - 3.095 - Medical Insurance Claims Paid - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-3/details#schedule-rule-3-095> Dal - GV45 - Risk Management Against: Uvic (sends files involving minors to archives) - fm225-20 insurance claim case files - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=66>

Issues Management

Description:

Records relating to issues management, including briefing notes, position papers, policy development, and recommendations for decision.

Redirects:

For finalized policies, see Policy Management. For records pertaining to legal matters, see Legal Advisory.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

no

Authorities:

Records relating to issues management are kept for seven years to facilitate problem-solving related to the issue. They are ultimately sent to archives because they often represent a concise summary of an important aspect of university operations. Precedence: BC Government, Royal Roads University, Dalhousie.

Relevant links:

Dal - AD45 - Executive Services - <https://dalclass.library.dal.ca/> RRU - 260-20 Issues Management - Issues
BC Gov - ARCS 280-20 Executive Services - Executive Briefing Notes - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/ministry-executive-services>

Procedure management

Description:

Records that represent the procedures, including correspondence and other records generated in policy administration.

Redirects:

For policy, see Policy Management.

Retention:

Keep major procedures such as those signed off by a director or published on the university website, for seven years from the date the document is no longer in effect, then send to archives. Keep minor procedures, such as memory aids for an office, for seven years from the date the document is no longer in effect, then destroy.

PIB:

no

Authorities:

Records relating to procedures are kept for seven years after they are no longer in effect because they provide a context that can be crucial to resolving old issues. Procedures that received formal approval by the board of governors are more likely to be called on to shed light on an issue, and are thus sent to archives to ensure long-term availability. Additionally, procedures are mentioned in the Royal Roads University Act as a responsibility of the board of governors (Royal Roads University Act [RSBC 1996] CHAPTER 409 s 10; University Act [RSBC 1996] CHAPTER 468 s 27 (f)), suggesting that procedures may be used as evidence that the board has fulfilled its responsibilities. Precedence: Simon Fraser University, McGill, Athabasca.

Relevant links:

SFU - RRSDA 2005-001 - Policies and Procedures <http://www.sfu.ca/archives2/dur-rrsdas/2005-001.html>
McGill - 1.003 - Policies and Procedures (university wide): Memos, Handbooks, Guidelines - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-003>
Athabasca - GV002 - Policies and Procedures Against (destroys all procedures): Queens - AD9100-11 General Administration and Operations - Local Policies, Procedures and Standards - <http://records-retention.library.queensu.ca/directory-records.php?series=AD9100.11>

Policy Management

Description:

Records that represent policies.

Redirects:

For policy development records, see Issues Management.

Retention:

Keep policies for seven years from the date the document is no longer in effect, then send to archives.

PIB:

no

Authorities:

Records relating to policies are kept for seven years after they are no longer in effect because they provide context that can be crucial to resolving old issues. They are then sent to archives because they provide insight on what constitutes permissible actions in a specific timeframe, facilitating the interpretation of other records. Additionally, there is a legislated requirement for a sexual misconduct policy but no retention for the policy is mentioned, suggesting that this policy needs to be kept indefinitely (Sexual Violence and Misconduct Policy Act [SBC 2016] CHAPTER 23). Precedence: University of Victoria, Simon Fraser University, Queens.

Relevant links:

Uvic - GV330-02 - Policies and Procedures - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=260>
SFU - RRSDA 2005-001 - Policies and Procedures - <http://www.sfu.ca/archives2/dur-rrsdas/2005-001.html>
Queens - AD9100-11 General Administration and Operations - Local Policies, Procedures and Standards - <http://records-retention.library.queensu.ca/directory-records.php?series=AD9100.11> Sexual Violence and Misconduct Policy Act [SBC 2016] CHAPTER 23. Retrieved from http://www.bclaws.ca/civix/document/id/complete/statreg/16023_01

Risk Management

Description:

Records relating to the management of risk, including information security risks.

Redirects:

For the monitoring of risk, see Monitoring & Evaluation. For risks relating to insurance, see Insurance. For records that describe an issue, see Issues Management.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to risks are kept for seven years to ensure documentation of risk is available for any legal proceedings that may stem from the risk - the Limitation Act [SBC 2012] CHAPTER 13, s 6 (1) prevents victims from bringing forward charges if more than two years have lapsed since the victim became aware of the damage. Records relating to risk are ultimately destroyed because it is unlikely that a seven-year old risk assessment will retain its relevance. Additionally, the documentation of major risks are likely to be captured in records that fall under Policy management, Issues management, Legal Advisory records, or Dispute Resolution records. Precedence: Dalhousie, Athabasca, BC Government.

Relevant links:

Dal - GV45 - Risk Management Athabasca - CO150-15 - Legal and Risk Management - Risk Management - http://archives.athabascau.ca/irm_program/retention_schedules-draft.php BC Gov - ARCS 450-30 - Risk Management & Insurance - Risk management files - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/risk-management-and-insurance> Against (keeps a selection of records): Waterloo - AD50 – University Risk Management & Internal Audit [DRAFT] - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/ad50-urm-internal-audit-draft-20190506.pdf>

Community Relationship Management

Description:

Records relating to the building of relationships with groups outside of RRU, such as post-secondary institutions, community organizations, and Indigenous communities. Includes records relating to the awarding of an honorary degree award.

Redirects:

For support to Indigenous students, see Indigenous Student Services. For fundraising for non-RRU entities, see Staff Engagement. For industry partnerships, see Industry Relationship Management.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

yes

Authorities:

Records that document Royal Roads University's relationships to the wider community are kept for seven years to support departmental knowledge. They are then sent to archives because they speak to one of the core function of the university, which is to perform a public service, and to sustain itself through public awareness. Precedence: Dalhousie, Uvic, Queens.

Relevant links:

Dal - ER60 - Community Engagement and Outreach Uvic - GV420-60 Senate Committee on Honorary Degrees and Other Forms of Recognition - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=278>
Queens - EX2100-12 Senate - Academic Governance - Selection of Honorary Degree Recipients - <http://records-retention.library.queensu.ca/directory-records.php?series=EX2100.12> Royal Roads University (2017). Honorary Degrees Policy. Retrieved from <http://policies.royalroads.ca/policies/honorary-degrees>

Government Relations Management

Description:

Records relating to relationships with all levels of government.

Redirects:

For the university's annual report sent to government, see Institution Reporting. For budget letters, see Budgeting & Costing.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to the relationship between universities and governments are kept for seven years to support department knowledge. Records are ultimately sent to archives because such records may shed light on the projects and decisions undertaken by Royal Roads University. Precedence: Dalhousie, McGill.

Relevant links:

Dal - ER51 - Government Liaison <https://dalclass.library.dal.ca/> McGill - 1.027 - External Organizations Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-027>

Industry Relationship Management

Description:

Records relating to the development of relationships with those who work in industry.

Redirects:

For patent applications, see Commercialise Outcomes. For licensing agreements, see Contract Management. For Co-operative Education experiences, see Student / Industry Partnerships. For guest speakers in courses, see Course Administration.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to university-industry relationships are kept for seven years to support department knowledge and to ensure tax requirements are met (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are ultimately sent to archives because the university's impact on the greater world is an important part of its mission. Precedence: Simon Fraser University, McGill, Dalhousie.

Relevant links:

McGill - 1.027 - External Organizations Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-027> Dal - ER50 - External Relations SFU (slightly different selective retention) - rrsda 2009-014 - corporate files - <http://www.sfu.ca/archives2/dur-rrsdas/2009-014.html>

Internal Stakeholder Management

Description:

Records that capture input from stakeholders within RRU, such as staff, faculty, students, alumni, volunteers and executives. For records relating to retreats, see Vision & Strategic Development

Redirects:

For records relating to visioning exercises, see Vision & Strategic Development.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to internal stakeholder opinions are kept for seven years to support department knowledge. These records are ultimately destroyed because the opinions they represent are ultimately subsumed in the final form of a project, which falls under the category pertaining to that project. Precedence: BC Government, Queens, McGill.

Relevant links:

BC government - ARCS 338-30 - Polling and surveying records - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/polls-surveys> Queens - AD9100-12 General Administration and Operations - Statistical Reports and Surveys - <http://records-retention.library.queensu.ca/directory-records.php?series=AD9100.12> McGill - 1.018 - Surveys: Questionnaires and related documents - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-018>

Media Relations

Description:

Records relating to media. Includes newsletters, the RRU website, profiles of RRU representatives (including board of governors), social media messages and mainstream media broadcasts.

Redirects:

For records relating to the promotion of RRU to potential students and donors, see Marketing Management.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

yes

Authorities:

Records are kept for seven years to support departmental knowledge, then sent to archives for three reasons. One, the website is the definitive information resource for students, and will thus shed light on disputes such as those relating to program requirements. Two, the website provides an immersive experience that will facilitate a cultural understanding of the present day. And three, Media content reveals how the university intended to present itself to the public, which is a rich area of analysis. Precedence: Dal, McGill.

Relevant links:

Dal - ER30 - Communications and Publications McGill - 1.020 - Internal Publications -
<https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-020>

Benefits Management

Description:

Records documenting employee enrolment in benefits programs.

Redirects:

No Redirects

Retention:

Keep records for 7 years from the employee's last day of coverage, then destroy.

PIB:

yes

Authorities:

Records relating to benefits are kept for seven years as required by the Income Tax Act, which states that every person and business who pays or collects taxes must keep records that will enable tax amounts to be determined (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). While medical records are subject to a 16 year retention recommendation by the College of Physicians and Surgeons, the recommendation does not apply in this case because neither the university nor the benefits provider is held accountable for medical malpractice. Records are ultimately destroyed because they represent private information. Precedence: Waterloo, University of Victoria, University of British Columbia.

Relevant links:

Waterloo - HR52 Employment Files (Financial) - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr52-employment-files-financial.pdf> Uvic - HR040 Employee Benefits - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=21> UBC - HR 01-060 - Employee Insurance Against (Benefits is part of employee file, which is sent to archives): Dal - HR50 - Personnel Files - Faculty Against (sends to archives): McGill - 4.033 - Benefit Plan Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-4/details#schedule-rule-4-033> College of Physicians and Surgeons (2013). College Bylaw Amendment Section 3-6(2). Retrieved from <https://www.cpsbc.ca/content/record-retention-16-years>

Election Planning

Description:

Records relating to the organization and administration of university elections.

Redirects:

For job applications, job offers, and curriculum vitae, see Personnel Record Maintenance.

Retention:

Keep election ballots for four months from the date of the election, then destroy. Keep all other election records for seven years from the date of the election, then destroy.

PIB:

yes

Authorities:

Records representing anonymous, completed election ballots are destroyed after four months because the motion to conduct a recount is not likely to be raised after the four-month mark. Records relating to the running of the election are kept for seven years to support the administrative task of running the next election, which occurs in three-year cycles according to Royal Roads University Act [RSBC 1996] CHAPTER 409 s 6 (2). Precedence: Simon Fraser University.

Relevant links:

SFU - rrsda 1998-026 - Election and Referenda Ballots - <http://www.sfu.ca/archives2/dur-rrsdas/1998-026.html> Waterloo (slightly different - keeps for one year) - GV30 – Board of Governors Committees - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/gv30-bog-committees-20180403.pdf> Queens (slightly different - sends vote count to archives and keeps for one year) - EX1400-31 Administration of Nomination and Appointment to Governing Bodies - Elections to Governing Bodies - <http://records-retention.library.queensu.ca/directory-records.php?series=EX1400.31> Against (keeps for five years): Uvic - GV160 - Elections - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=93> Royal Roads University Act [RSBC 1996] CHAPTER 409 s 6 (2). Retrieved from http://www.bclaws.ca/civix/document/id/complete/statreg/96409_01#section6

Staff Engagement

Description:

Records relating to staff engagement. Includes staff appreciation events and charitable campaigns where the recipient of the charity is external to Royal Roads.

Redirects:

For event planning unrelated to staff engagement, see Event & Venue Management.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to the financial aspect of charitable campaigns are kept for seven years because corporations and individuals that donate to charity are eligible for a tax deduction, making the records subject to the provisions of the Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b). Planning records are given a seven-year retention for accountability purposes. Records are ultimately destroyed because evidence of staff engagement can be found in the Media Relations category. Precedence: Dalhousie, BC Gov, Queens.

Relevant links:

Dal - FN60 - Taxes (includes reference to charity) BC Gov - ARCS-188-20 - Charitable Campaign files <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/charity> Queens - AD2700 - Taxes - <http://records-retention.library.queensu.ca/directory-records.php?schedule=AD2700> Against (sends to archives) - Dal - ER60 - Community Engagement and Outreach Royal Bank of Canada (2018.) Charitable Donations through your corporation. Retrieved from <https://ca.rbcwealthmanagement.com/documents/536761/1454881/CharitableDonationsthroughyourcorporation.pdf/134f8a9e-156b-48cf-b4af-ad8596b9a884> University of British Columbia United Way Campaign (2019.) United Way Online Donation System – E-Pledge FAQs. Retrieved from: <https://unitedway.ubc.ca/faqs/united-way-work/>

Employee Performance Management

Description:

Records that represent a performance evaluation. Includes staff performance plans and evaluations, teaching and innovation awards, as well as records generated during a tenure review process.

Redirects:

For student reviews of instructors, see Learning & Teaching Assessment. For honorary degree awards, see Community Relationship Management.

Retention:

Keep performance-related records seven years from the employee's last day of work, then destroy.

PIB:

yes

Authorities:

Records relating to employee performance and awards are retained for the duration of the employee's career because such records can be useful for management purposes. Records are destroyed seven years after the employee has left to reduce the impact of a privacy breach. Records are also destroyed because award recipients are announced in the website under the Media Relations category. Precedence: Simon Fraser University.

Relevant links:

SFU - rrsda - 1995-011 Canada Trust Distinguished Teaching Award Assessments - <http://www.sfu.ca/archives2/dur-rrsdas/1995-011.html> UBC - (slightly different - reviewed by archivist before destruction) - 01-020 Awards –Faculty and Staff - https://rmo.sites.olt.ubc.ca/files/2019/01/HR_Classification_Rev0.pdf Dal - (slightly different - reviewed by archivist before destruction) - HR60 - Recognition Awards Uvic - (slightly different: part of personnel file; sends executive and those reporting directly to executive to archives) HR020-20 - Continuing/Regular Employees - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=14> Against (sends list and citation to archives) Queens - EX2200-30 University Council - Selection for Distinguished Service Awards - <http://records-retention.library.queensu.ca/directory-records.php?series=EX2200.30> SFU - (slightly different - 50-60 year retention after employee leaves) rrsda 1997-036 - Personnel Files: Non-Academic Employees (Continuing) - <http://www.sfu.ca/archives2/dur-rrsdas/1997-036.html> Against (keeps non-faculty for 60 years after left the organization, sends faculty files to archives) - Dal - HR51 - Personnel files

Human Resources Support

Description:

Records representing support and advice relating to human resources matters.

Redirects:

For finalized decisions relating to an individual's employment, see Personnel Record Maintenance.

Retention:

Keep records for five years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to routine human resources support and advice is kept for five years to support staff knowledge. Records relating to unusual situations are kept until they are no longer needed to support staff knowledge. Records are ultimately destroyed because information is better captured in other records, such as Policy management and Personnel Record Maintenance. Precedence: BC Government, Simon Fraser University.

Relevant links:

SFU - rrsda 1997-016 - Human Resources Subject Files - <http://www.sfu.ca/archives2/dur-rrsdas/1997-016.html> BC Gov - ARCS 1705 - Strategic Human Resource Planning & Advice - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/human-resources-records/strategic-planning-advice> BC Gov - Schedule 201294, secondary 11860-30 - Records management services - liaison and advice - significant advisory issues case files - <https://www2.gov.bc.ca/assets/gov/british-columbians-our-governments/services-policies-for-government/information-management-technology/records-management/orcs/records-management.pdf>

Leave Management

Description:

Records that document employee leave (leave of absence, exchange, sick leave, long-term disability leave and parental leave), the management of an employee's long-term disability, and WorkSafeBC claims.

Redirects:

No Redirects

Retention:

Keep records for seven years from the employee's last day of work, then destroy.

PIB:

yes

Authorities:

Records relating to leave management are kept for seven years after the employee's last day of work because an injury sustained in the workplace may present itself years later, and keeping such records supports an employee's WorkSafeBC claim. Assistance relating to disability is also improved if records are retained. Records are ultimately destroyed to respect the privacy of individuals. Precedence: UBC, Uvic.

Relevant links:

UBC - HR01-050 - Employee Disability Files (Against - destroys seven years after record creation): UBC - HR01-120 - Leave Management -Leave, Sick Days, Vacations, and Overtime Uvic - HR070-20 - WorkSafe Claim records - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=19> Against (sends to archives): McGill - 4.016 Accident Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-4/details#schedule-rule-4-016> Against (sends to archives): Waterloo - HR78 - Sick Leave and Long-term Disability Files - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr78-sick-leave-long-term-disability-files.pdf> Against (keeps five years after person's death, or after they reach age 90): Waterloo - HS63 – Workplace Safety and Insurance Claims - https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hs63-workplace-safety-insurance-claims_0.pdf

Health & Safety

Description:

Records relating to occupational health and safety.

Redirects:

For records relating to vehicle maintenance, see Fleet Management. For records relating to serious accidents and injuries, see Leave Management.

Retention:

Keep records that pertain to the safety of individual employees, including fit tests, training, and risk assessments of the worker's environment, for ten years from the employee's last day of work, then destroy. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to risk assessment, training and equipment checks are kept for at least ten years to ensure compliance with various Occupational Health and Safety Regulation, (B.C. Reg. 296/97 3.19, 5.59, and 6.32). Records are then kept for additional time: the duration of the career of the worker, plus seven years, because such records can shed light on the investigation of serious incidents. Precedence: University of Victoria, University of British Columbia.

Relevant links:

Uvic - HR070-03 - Non-compensatory Accidents and Injuries - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=18>, HR070-20 WorkSafe Claim records <http://webapp.library.uvic.ca/uvicrecords/more.php?id=19> UBC - HR 01-190-02 - Workers Compensation Claim Files and related documentation - Compensatory accidents - https://rmo.sites.olt.ubc.ca/files/2019/01/HR_Classification_Rev0.pdf Against (keeps for 35 years from date of record creation): Queens - AD7100 31 - Workplace Health and Safety - Workplace Incident and Accident Files <http://records-retention.library.queensu.ca/directory-records.php?series=AD7100.31> Against (keeps for 15 years from date of record creation): Waterloo - HS52 – Injury/Incident Reports - https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hs52-injury-incident-reports_0.pdf Against (keeps for 10 years from the date of record creation): SFU - 1998-032 - Accident Reports - <http://www.sfu.ca/archives2/dur-rrsdas/1998-032.html> Against (keep for 5 years from date of record creation): McGill - 4.016 Accident files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-4/details#schedule-rule-4-016> Occupational Health and Safety Regulation, B.C. Reg. 296/97 3.19 (2) indicates that a record of all injuries and exposures to contaminants must be kept for at least 3 years. Occupational Health and Safety Regulation, B.C. Reg. 296/97 5.59 (3) indicates that records relating to the investigation of hazardous substances must be maintained by the employer for a minimum of 10 years. Occupational Health and Safety Regulation, B.C. Reg. 296/97 6.32 indicates that records respecting asbestos-containing materials must be kept for at least 10 years. Penalty summaries by WorkSafeBC indicates that employers are frequently penalized if they cannot

produced documentation of training, fit tests, or plans for dealing with hazardous situations (see, for example, fines imposed on Skippy's Kettlecorn, Sky Blue Environmental Services, A + P Fruit Growers, and Value Village Canada Ltd (Victoria).) - https://www.worksafebc.com/en/health-safety/create-manage/incident-investigations/penalties/penalty-summaries/search?_ga=2.249412231.1454965641.1572030782-1779200463.1570813544

Training & Development

Description:

Records relating to the training and development of skills relevant to the workplace. Includes the instructor's copy of workshop material, PowerPoints, and certificates of completion. Includes training for information technology software.

Redirects:

For safety training, see Health & Safety. For records relating to staff performance plans and evaluations, see Employee Performance Management.

Retention:

Keep records for seven years from the date of creation, then destroy.

PIB:

no

Authorities:

Records relating to training are kept for seven years to help creators make new training materials. At the end of their lifetime, records are destroyed because they often take a form that has gaps (such as notes and PowerPoints), creating comprehension problems for future researchers. Precedence: University of Victoria, Dalhousie.

Relevant links:

Uvic - HR090 Training - Programs and Courses - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=31>
Dal - HR61 - Professional Development and Training Against (sends to archives): Athabasca - HR250-25 - Performance and Development Against (sends to archives for review): UBC - 01-170 Staff Training & Professional Development https://rmo.sites.olt.ubc.ca/files/2019/01/HR_Classification_Rev0.pdf

Organizational Design

Description:

Records relating to organizational design and change management. Includes planning documents for changes, copies of new legislation and regulations, job position descriptions, group reclassification appeals, salary surveys, and reviews of the overall salary structure.

Redirects:

For appeals to review the salary of an individual, see Personnel Records Maintenance.

Retention:

Keep organizational charts, mission statements, and job position descriptions for seven years from the date of record creation, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records representing organizational charts, job descriptions, and mission statements are kept because they have the capacity to provide an overview of Royal Roads University and thus contextualize other records. Precedence: Royal Roads University, BC Gov, UBC, Dalhousie.

Relevant links:

RRU - 0805-20 - Organization and Mandate - Department Mission Statement RRU - 0805-30 - Organization and Mandate - RRU Mission Statements and Values BC Gov - ARCS 105-02 - Organizational Charts and organization histories - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/organization> Dal - HR22 - Position Description, Classification, and Evaluation UBC - 01-030 Classification - Appeals and Reclassification - https://rmo.sites.olt.ubc.ca/files/2019/01/HR_Classification_Rev0.pdf Against (destroys job descriptions): UBC - 01-130 Job Descriptions - https://rmo.sites.olt.ubc.ca/files/2019/01/HR_Classification_Rev0.pdf Waterloo - HR86 – Position Description and Classification - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr86-position-description-classification.pdf> Waterloo - HR87 – Position Reclassification Case Files - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr87-position-reclassn-cases-20190410.pdf>

Payroll Management

Description:

Records relating to an employee's pay, work schedule, and basic leave information.

Redirects:

For more detailed records relating to leave situations, including medical documentation relating to long-term disability, see Leave Management. For records relating to promotion and evaluation, see Employee Performance Management. For a history of the formal communication between an employee and RRU, including appeals for salary review, see Personnel Record Maintenance.

Retention:

Keep records for 7 years from the employee's last day of work, then destroy.

PIB:

yes

Authorities:

Payroll records are kept for seven years after the employee's last day of work because payroll records can shed light on disputes relating to pensions. This long retention period also satisfies the relatively short requirements of two pieces of legislation: section 28(2) of the Employment Standards Act, R.S.B.C. 1996, c. 113, which indicates that payroll records must be kept for four years from the date the record is created, and the Income Tax Act (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Precedence: University of Victoria, McGill.

Relevant links:

Uvic - FM320-20 Payroll - Employee pay records - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=56> McGill - 4.021 - Payroll / Personnel Master File - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-4/details#schedule-rule-4-021> Against (keeps for three years): Waterloo - HR57 Pay Statements - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr57-pay-statements.pdf> Against (keeps for seven years): Queens - AD4300-31 Payroll (Financial Services) - Salary Payments - <http://records-retention.library.queensu.ca/directory-records.php?series=AD4300.31> Against (keeps for seven years): Dal - HR30 - Payroll Management Against (keeps for seven years): UBC - 002-07 - Payroll - https://recordsmanagement.ubc.ca/files/2014/09/sched_2-07.pdf Employment Standards Act, R.S.B.C. 1996, c. 113 28 (2). Retrieved from http://www.bclaws.ca/civix/document/id/complete/statreg/96113_01 Payroll records 28 (1) For each employee, an employer must keep records of the following information: (a) the employee's name, date of birth, occupation, telephone number and residential address; (b) the date employment began; (c) the employee's wage rate, whether paid hourly, on a salary basis or on a flat rate, piece rate, commission or other incentive basis; (d) the hours worked by the employee on each day, regardless of whether the employee is paid on an hourly or other basis; (e) the benefits paid to the employee by the employer; (f) the employee's gross and net wages for each pay period; (g) each deduction made from the employee's wages and the reason for it; (h) the dates of the statutory holidays taken by the employee and the amounts paid by the employer; (i)

the dates of the annual vacation taken by the employee, the amounts paid by the employer and the days and amounts owing; (j) how much money the employee has taken from the employee's time bank, how much remains, the amounts paid and dates taken. (2) Payroll records must (a) be in English, (b) be kept at the employer's principal place of business in British Columbia, and (c) be retained by the employer for 4 years after the date on which the payroll records were created.

Pension Management

Description:

Records relating to the administration of pensions, including documentation that captures the first and last day of work for an employee, as well as any significant disruptions of service.

Redirects:

For records relating to the contract with a pension carrier, see Contract Management. For records relating to legal opinions, see Legal Advisory. For policies, see Policy Management. For records relating to reporting, see Institution Reporting. For records relating to investments, see Investment Management.

Retention:

Keep employee pension records for one hundred years from the employee's last day of work, then destroy.

PIB:

yes

Authorities:

Records relating to pensions are kept for 100 years from the last day of work because the information associated with pension - an employee's start date, end date, and significant interruptions of service - can be crucial information for the resolution of a legal case. This retention was recommended by a lawyer. The 100 year retention also satisfies the Income Tax Act (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)).

Relevant links:

Uvic - FM175-20 Staff Pension Member Files - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=300>
Waterloo - HR70 - Pension Beneficiary Files - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr70-pension-beneficiary-files.pdf>, Waterloo - HR68 – Pension Administration System - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr68-pension-admin-system.pdf> Against (keep for 100 years after termination):
Queens - AD4550-30 Pension Administration - Individual Pension Record- <http://records-retention.library.queensu.ca/directory-records.php?series=AD4550.30> Against (keep permanently):
McGill - 4.002 Pension Case Files <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-4/details#schedule-rule-4-002>
BC Financial Services Authority. (2017). Records Retention Guidelines. <https://www.fic.gov.bc.ca/pdf/Pensions/guidelines/RRGuideline.pdf>
Pension British Columbia. (2019). Employer Instruction Manual. https://www.pensionsbc.ca/portal/page/portal/pencorpccontent/mpppage/publications/employerinstruction/mpp_er_manual_entire_doc.pdf

Personnel Record Maintenance

Description:

Records that document major decisions relating to the employment of a RRU employee. Includes job applications, offers of employment, promotions, salary appeals, research misconduct, major health and safety incidents, and emergency contact information. Volunteers may also have a personnel file. Other categories in the human resources section may be organized as subfolders within a Personnel Record Maintenance folder. The retention of the subfolder category takes precedence.

Redirects:

For leave management issues, including medical files relating to long-term disability, see Leave Management. For advice and support relating to human resources matters, see Human Resources Support. For conflict management issues, see Dispute Resolution. For reviews of the overall salary structure, see Organizational Design.

Retention:

Keep records for seven years from the employee's last day of work, then destroy.

PIB:

yes

Authorities:

Records relating to employees are kept for the duration of the employee's career because this information is useful for shedding context on issues. The Public Sector Employers Act [RSBC 1996] CHAPTER 384 s 14.8 (1) indicates that salaries exceeding a predefined amount should be available to the public (legislation makes no mention of retention, suggesting records should be kept indefinitely). The reason that employee salary information is ultimately destroyed is because such information is summarized on the website, and thus captured in the Media Relations category. Employee files are ultimately destroyed to respect the right of individuals to be forgotten. Precedence: University of Victoria, Waterloo.

Relevant links:

Waterloo - HR20 – Employment Files (Other Faculty) - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr20-employment-files-other-faculty.pdf> Slightly different: Uvic (sends high-level positions to archives) - HR020-20 Continuing/Regular Employees - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=14> Slightly different: Waterloo (sends select positions to archives) - R22 – Employment Files (Regular Faculty) - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr22-employment-files-reg-faculty-20190605.pdf> Against (keeps for 50 years after termination): SFU - RRSDA 1997-036 - Personnel Files: Non-Academic Employees (Continuing) - <http://www.sfu.ca/archives2/dur-rrsdas/1997-036.html> Against (keeps non-faculty for 60 years after termination; sends faculty to archives): Dal - HR51 - Personnel Files - Non-Faculty, HR50 - Personnel Files - Faculty Against (keeps for 75 years, then removes and sends C.V's to archives, destroys remainder): UBC - 01-045 Faculty/ Staff Files

Staff Recruitment

Description:

Records relating to the process of running a job competition, including the search for executive positions. Includes job offers, correspondence, interviewer notes, exams, and posting request forms.

Redirects:

For descriptions of job positions, see Organizational Design. For applications, letters of reference and curriculum vitae, see Personnel Record Maintenance.

Retention:

Keep the records of successful applicants for seven years after they have left the organization, then destroy. Keep the records of unsuccessful applicants for two years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to competitions are kept for two years to shed light on any disputes that may arise as a result of the competition. The two-year retention also satisfies the Freedom of Information and Protection of Privacy Act [RSBC 1996] CHAPTER 165 s 31, which indicates that personal information must be retained for at least one year. The hiring process of successful applicants are kept for the duration of the employee's career to ensure a complete picture of the employment, and to ensure that records meet the six-year retention for foreign nationals as specified by the Immigration and Refugee Protection Regulations (SOR/2002-227) s 209.2 (1). Precedence: University of Victoria, McGill, Dalhousie, University of British Columbia.

Relevant links:

Uvic - HR010-50 Staffing - Competitions - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=20>.
McGill - 4.027 - Unsuccessful Employment Applications for Administrative and Support Staff: Qualified Internal / External Applicants - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-4/details#schedule-rule-4-020>, and 4.037 - Unsuccessful Employment Applications for Academic Staff: Qualified and Interviewed Applicants - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-4/details#schedule-rule-4-037>
Dal - HR70 - Competition Case Files UBC (slightly different - unsuccessful non-faculty kept for one year) - 01-010 Applications for Employment, Recruitment and Competition https://rmo.sites.olt.ubc.ca/files/2019/01/HR_Classification_Rev0.pdf
Immigration and Refugee Protection Regulations (SOR/2002-227) s 209.2 (1): 209.2 (1) An employer who has made an offer of employment to a foreign national referred to in subparagraph 200(1)(c)(ii.1) must comply with the following conditions: (b) during a period of six years beginning on the first day of the period of employment for which the work permit is issued to the foreign national, the employer must (i) be able to demonstrate that any information they provided under subparagraph 200(1)(c)(ii.1) or section 209.11 was accurate, and (ii) retain any document that relates to compliance with the conditions set out in paragraph (a). (which says that the employer must be able to show they are engaged in the business that employs the foreign national; must show they comply with employment laws; must show that employment conditions are similar

to the offer; must demonstrate the workplace is free of abuse).

Workforce Relations Management

Description:

Records relating to labour groups. Includes group agreements, negotiations, and group grievances.

Redirects:

For records relating to individual grievances and arbitration, see Dispute Resolution.

Retention:

Keep the official copy of bargaining agreements for seven years from the date of the agreement is no longer in effect, then send to archives. Keep all other records for seven years from the date of record is no longer needed, then destroy.

PIB:

no

Authorities:

Records relating to labour groups agreements are kept for seven years after they are no longer in effect because they are used in drafting subsequent agreements and for resolving disputes. Bargaining agreements may be used as a reference during the University's income tax calculations (through salaries and union dues), and are thus subject to the Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b), as well as the Income Tax regulations, which specify that agreements must be kept (Income Tax Regulation, C.R.C., c. 945, 3. 5800). The records are ultimately sent to archives because they shed light on the internal organization of the university. Precedence: McGill, University of Victoria.

Relevant links:

McGill - 4.015 - Collective Agreements, Negotiations and Policies - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-4/details#schedule-rule-4-015> Uvic - HR120-02 Employee Group Agreements - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=39c> Dal - (slightly different: 25 years active retention) HR10 - Collective Bargaining SFU - (slightly different: 50 years active retention) RRSDA - 2010-005 - Bargaining Unit Negotiations and Agreements - <http://www.sfu.ca/archives2/dur-rrsdas/2010-005.html> UBC - (slightly different: 20 years active retention) 01-080-01 ER - Bargaining Material - https://rmo.sites.olt.ubc.ca/files/2019/01/HR_Classification_Rev0.pdf

Workforce Reporting

Description:

Records relating to the reporting of workforce statistics, including equity compliance reports.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

no

Authorities:

Records relating to workforce statistics are kept for seven years to support departmental knowledge. Records are then sent to archives because they represent a broad picture of the organization, which is useful for contextualizing other records. Employment equity reports are specifically retained because they can be used to show that Royal Roads University is meeting its obligations under the Employment Equity Act S.C. 1995, c. 44 17. The legislation explicitly mentions reports, but makes no mention of retention, suggesting that it is better to err on the side of keeping these reports, rather than destroying them. Precedence: University of Victoria, Queens,

Relevant links:

Uvic - HR145-02 Equity Compliance reports - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=52>
Uvic - HR375-02 General Reports - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=27> Queens - AD5400-10 - Employment Equity - Employment Equity Framework Files - <http://records-retention.library.queensu.ca/directory-records.php?series=AD5400.10> Waterloo - HR84 – Employment/Pay Equity - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hr84-employment-pay-equity.pdf> Employment Equity Act S.C. 1995, c. 44 17. Retrieved from <https://laws-lois.justice.gc.ca/eng/acts/e-5.401/FullText.html> 17 Every employer shall, in accordance with the regulations, establish and maintain employment equity records in respect of the employer's workforce, the employer's employment equity plan and the implementation of employment equity by the employer.

Align, Plan & Organize

Description:

Records relating to the planning of information technology projects. Includes research, standards, and plans.

Redirects:

For projects that involve significant workforce restructuring, see Organizational Design.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to information technology project planning are kept for seven years to support the planning of future projects. Record are ultimately destroyed because evidence of the project can be found in other records, such as those falling under the category Strategic Plan, and Vision & Strategic Development.

Precedence: Royal Roads University, Dalhousie, Athabasca.

Relevant links:

RRU - 2050-20 Methodologies and Standards - Methodologies Dal - IM21 - Change Management Athabasca
- IS200-05 - Information Technology - Architecture

Build, Acquire & Implement

Description:

Records relating to the building, acquisition, and implementation of information technology projects and services.

Redirects:

For projects that involve significant workforce restructuring, see Organizational Design. For information technology training, see Training & Development.

Retention:

Keep records for two years from the date the system or service has been decommissioned, then destroy.

PIB:

no

Authorities:

Records relating to information technology projects are kept for two years after the date of decommission to ensure that records pertaining to the maintenance and troubleshooting are available when needed. Record are ultimately destroyed because evidence of the project can be found in other records, such as those falling under the category Strategic Plan, and Vision & Strategic Development. Precedence: BC Gov, Royal Roads University, Athabasca.

Relevant links:

BC gov - ARCS 6450-20 - Information System Development & Changes - IT projects - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/information-technology-records/systems-development> RRU - 2010-30 - Applications - design, development, and implementation Athabasca - IS200-10 - Information Technology - Systems Development Against (sends to archives): McGill - 1.041 - Computer Programmes - Documentation - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-041>

Delivery, Service & Support

Description:

Records that represent routine support and services offered in relation to information technology products. Includes service requests and the delivery of routine services.

Redirects:

For the delivery of a new information technology services, see Build, Acquire & Implement. For information technology training, see Training & Development. For the maintenance of equipment unrelated to information technology, see either Buildings & Facilities Management or Research Infrastructure Management.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to the routine support of information technology products are kept for seven years to allow patterns of issues to surface. Records are ultimately destroyed because they represent easily-resolved issues that have no lasting impact on the character or direction of the university. Precedence: BC Gov, Athabasca University.

Relevant links:

BC Gov - ARCS 6820-25 - Reported incidents and user help and support - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/information-technology-records/systems-operations> Athabasca - IS200-15 - Information Technology - Systems Maintenance

Monitoring & Evaluation

Description:

Records relating to the information security. Includes the monitoring, assessment, and evaluation of potential threats to information security.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to information security are kept for seven years to allow patterns of issues to surface. They are ultimately destroyed because they represent day-to-day issues and are thus largely repetitive in nature. Summaries of major information security issues can be found in other records, such as those categorized under Issues Management. Precedence: Athabasca University.

Relevant links:

Athabasca - FS100-05 - Tracking and Monitoring BC Gov - ARCS- 470 [various secondaries]- Security Management - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/security?keyword=security>

Archival Management

Description:

Records relating to the management of the archival collection. Includes archival material, displays, finding aids, research, policies, enquiries, environmental management, and projects.

Redirects:

For policies, see Policy Management. For donations see Donors & Advancement. For inquiries see Information Search & Discovery.

Retention:

Keep archival collections, along with the associated finding aids, accession registries, donor information, and preservation information in perpetuity. Keep all other records for seven years, then destroy.

PIB:

yes

Authorities:

Records relating to archival material are kept in perpetuity to facilitate the preservation and comprehension of archival collections. Precedence: Royal Roads University, Athabasca University, Queens, McGill.

Relevant links:

RRU - 2310-20 Archives - General - Acquisitions/Loans RRU (slightly different - destroys finding aids when replaced by an updated version) - 2310-25 Archives - General - Finding Aids Athabasca - IS100-15 - Records Storage and Preservation Queens - OP2310-31 - Archival Collections Management - Accession Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2310.31> Queens - OP2310-40 - Archival Collections Management - Archival Holdings Database - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2310.40> McGill - 1.022 - Accession Registers - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-022> McGill - 1.023 - Accession Lists - Records Transferred to Archives - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-023> Against (sends user support records to archives): Dalhousie - IM32 - User Support

Copyright Management

Description:

Records relating to copyright management. Includes clearances permitting RRU staff to use copyrighted material, and copyright permissions issued by RRU.

Redirects:

For disputes relating to copyright, see Dispute Management. For trademarks representing RRU, see Marketing Management.

Retention:

Keep copyright permissions that pertain to archival material for seven years from the date of record creation, then send to archives. Keep all other records for seven years from the date of the clearance is no longer in effect, then destroy.

PIB:

no

Authorities:

Records relating to copyright clearances are kept for as long as the clearances are in effect because doing so makes it possible to resolve disputes. Copyright clearance records are ultimately destroyed because the content of each record is similar to one another and thus does not bring new information to the archives. Precedence: Dalhousie, Simon Fraser University.

Relevant links:

Dal - GV22 - Intellectual Property SFU - rrsda 2005-007 - Copyright Permission Clearances
-<http://www.sfu.ca/archives2/dur-rrsdas/2005-007.html> Against (keeps for 75 years after superseded then sends to archives): Athabasca - CO300-10 - Copyright and Trademark - Copyright

Information Search & Discovery

Description:

Records relating to the search and retrieval of records. Includes searches into both corporate and archival record collections. Covers freedom of information (FOI) requests, inquiries into the archival collection, requests from ICBC for auto information, and privacy requests. Includes requests and a copy of the returned records.

Redirects:

No Redirects

Retention:

Keep requests which saw the intervention of the Office of the Privacy Commissioner or a judicial body for seven years from the date of the initial request, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to Freedom of Information requests are kept for seven years to allow patterns of requests to surface. Records that saw the intervention of the Privacy Commissioner or a judicial body are ultimately kept for archives, because they represent contentious or complex issues relating to the university's accountability to the public. All other records are destroyed because significant issues that did not see the intervention of the Privacy Commissioner will be likely be captured as a case file under Issues Management. Precedence: BC Gov, University of Victoria, Queens, Dalhousie.

Relevant links:

BC Gov - ARCS 292-30 - Information & Privacy, Freedom of Information - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/foi-requests> Uvic - GV260-30 - Freedom of Information requests - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=149> Queens - EX4300-32 - Access to Information and Privacy - Privacy Breaches and Complaints Case Files - <http://records-retention.library.queensu.ca/directory-records.php?series=EX4300.32> Queens (slightly different - sends general FOI requests to archives) - EX4300-31 - Access to Information and Privacy - Access Request and Appeal Files SFU - rrsda 2009-005 - Motor Vehicle Branch Search Requests - <http://www.sfu.ca/archives2/dur-rrsdas/2009-005.html> Dal - IM12 - Access Requests Dal - IM11 - Access and Privacy Program

Information Security Management

Description:

Records relating to the management of privacy. Includes projects, external review documentation, and records relating to privacy investigations.

Redirects:

For requests to see private information, see Information Search & Discovery. For personal information bank directories, see Records Management. For security relating to information technology, see Monitoring & Evaluation.

Retention:

Keep records relating to investigations of the privacy commissioner, and precedent-setting privacy matters, seven years from the date of the date of record creation, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Record relating to privacy are kept for seven years to support staff knowledge. Precedent-setting cases and those that saw the intervention of the privacy commissioner are sent to archives because they often represent serious issues and thus may significantly shape the direction and practices of the university. Less significant cases are destroyed because they often represent routine administrative information. Precedence: University of Victoria, Simon Fraser University, BC Gov.

Relevant links:

Uvic - GV260-35 - Privacy - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=151> SFU - (slightly different - subject to review by archives) - RRSDA 2000-007 - Access and Privacy Advice and Subject Files - <http://www.sfu.ca/archives2/dur-rrsdas/2000-007.html> BC Gov - ARCS 290-20 - Information/Privacy Commissioner investigations - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/administrative-records/information-privacy-general> Dal (slightly different - sends all records to archives) - IM11 - Access and Privacy Program

Records Management

Description:

Records relating to records management. Includes advice, projects, guides for managing records, retention systems and the documentation of destructions.

Redirects:

For finding aids and documentation surrounding archival collections, see Archival Management.

Retention:

Keep the documentation of destructions for seven years from the date of destruction, then send to archives. Keep the system of records retention for seven years from the date of the system is no longer in use, then send to archives. Keep all other records for two years from the date the record is no longer in use, then destroy.

PIB:

no

Authorities:

Records are kept for seven years to support staff knowledge. Documentation of destruction is ultimately sent to archives because they may be needed at a later point to justify destruction. Records relating to retention schedules are sent to archives because they can be used to contextualize archival holdings. All other records are ultimately destroyed because they are similar to one another and thus do not shed substantially new light on the records management function Precedence: McGill, Simon Fraser University, Dalhousie, Queens.

Relevant links:

McGill - 1.025 - Retention Schedules (principal record) - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-025> SFU - rrsda 1999-044 - Records disposal authority forms - <http://www.sfu.ca/archives2/dur-rrsdas/1999-044.html> Dal - IM40 - Records Management Program Queens - AD8900-40 Records Management - Records Retention Schedules Database - <http://records-retention.library.queensu.ca/directory-records.php?series=AD8900.40>

Contract Management

Description:

Records relating to contracts. Includes informal agreements, and signed contracts.

Redirects:

For Requests for Proposals, see Procurement & Purchasing For contracts between an employee and the university, see Personnel Record Maintenance.

Retention:

Keep contracts relating to the federal property lease for two years from the date the contract expires, then send to archives. Keep all other contracts for seven years from the date the contract is no longer in effect, then destroy.

PIB:

yes

Authorities:

Records relating to contracts are kept for seven years because they often involve an exchange of money which impacts the income tax claims of the university, (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b). Retention also satisfies the Limitation Act CHAPTER 13, s 6 (1), which prevents victims from bringing forward charges if more than two years have lapsed since the victim became aware of the damage. Contracts related to the federal property lease are ultimately sent to archives because they document an important collaboration that involves the Department of Defense, the Songhees Nation, and the Esquimalt Nation. All other contracts are ultimately destroyed because important contracts are reflected in Ledger and Budget files. Precedence: Simon Fraser University, BC Gov, Royal Roads University, Queens.

Relevant links:

SFU - rrsda 2014-007 - Competitive Sourcing and contract case files - <http://www.sfu.ca/archives2/dur-rrsdas/2014-007.html> Queens - AD2900-33 - Procurement - Contract Files - <http://records-retention.library.queensu.ca/directory-records.php?series=AD2900.33> Queens - AD6400-31 - Real Property Development and Management - Real Property Acquisition Files - <http://records-retention.library.queensu.ca/directory-records.php?series=AD6400.31> BC Gov - ARCS - 1070-20 - Contracts, Agreements and Partnerships - <https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs/financial-records/procurement-and-contracts> Uvic - GV260-50 -legal matters - land titles - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=100> Against (sends contracts to archives) - McGill - 2.003 - Contract and Agreement Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-2/details#schedule-rule-2-003> Against (sends select contracts to archives) - Uvic - GV260-20 Legal Matters - Contracts, Leases and Agreements - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=150>

Dispute Resolution

Description:

Records relating to dispute resolution. Covers disputes involving staff, students, faculty and executive. Includes workplace conflict, sexual harassment, legal investigations, human rights issues, equity issues, union grievances, and extended complaints involving third-parties.

Redirects:

For records relating to misconduct in relation to a research project involving original data, see Researcher Misconduct. For records relating to misconduct in relation to student work, see Student Misconduct.

Retention:

Keep records relating to sexual misconduct or minors for twenty years after the date of record creation, then destroy, unless both parties agree in writing to send files to archives. Keep all other records for five years from the date that marks the beginning of the dispute, then destroy, unless both parties agree in writing to send files to archives.

PIB:

yes

Authorities:

Records relating to disputes involving sexual misconduct or minors are kept for twenty years to ensure that the records are available should a party choose to reopen the dispute at a later date. Retention aims to strike a balance between legal considerations (minors and sexual harassment victims can bring charges forward at any point according to the Limitation Act [SBC 2012] CHAPTER 13 s 3 (1)), and the possibility that such sensitive information should be destroyed as soon as possible to circumvent accidental disclosure. All other records are kept for five years to meet requirements under the Limitations Act and Human Rights Code (Human Rights Code [RSBC 1996] CHAPTER 210 22 (1)), and to contextualize additional incidents relating to the dispute. Records are destroyed at the discretion of those involved to ensure that privacy is respected. Precedence: Royal Roads University, University of Victoria, Queens.

Relevant links:

McGill (slightly different - destroys after two years) - 8.015 - Ombudsman: Case Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-8/8-clients-files#schedule-rule-8-015> Athabasca (slightly different - destroys after ten years) - SS250-10 - Ombudsman - Issue Intake and Follow-up Queens - (slightly different - destroys after three years) - EX4600-31 - Dispute Resolution - Dispute Advisory Files - <http://records-retention.library.queensu.ca/directory-records.php?series=EX4600.31> Queens - EX4600-33 - Dispute Resolution - Safe Disclosure Reporting and Investigation - <http://records-retention.library.queensu.ca/directory-records.php?series=EX4600.33> Waterloo - HS04 – Conflict and Unethical Behaviour Case Files -https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hs04-conflict-unethical-behaviour-cases_0.pdf Waterloo - (slightly different - destroys initial consult after one year) HS05 – Conflict, Unethical Behaviour, and Human Rights Consultations - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hs05-conflict->

unethical-behaviour-human-rights-consultations_0.pdf Waterloo - (slightly different - keeps in office permanently) - HS07 – Human Rights Complaint Files - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/hs07-human-rights-complaints-20190328.pdf> Waterloo - (slightly different - decisions kept for 20; supporting material kept for 3; anonymized summaries sent to archives) - ST88 – Student Grievances Case Files - https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/st88-student-grievances-20190611_0.pdf Against (sends appeal and arbitration to archives) - Queens - EX4600-32 Dispute Resolution - Appeal and Arbitration Files - <http://records-retention.library.queensu.ca/directory-records.php?series=EX4600.31> Against (sends human rights files to archives) - Queens - OP3100-31 Human Rights - Human Rights Advisory Services Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP3100.31> Uvic (slightly different - can destroy earlier than five years) - HR120-30 - Employment Issues - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=72> Uvic (slightly different - must request to destroy; otherwise goes to archives) - HR120-40 - Appeals - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=281> Uvic (slightly different - must request to destroy; otherwise goes to archives) - HR120-35 - Arbitration - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=36> RRU - (slightly different - retention determined in dispute) - 0685-20 Human Rights - Harassment RRU - (slightly different - 10 years) - 0685-30 Human Rights - Human rights Investigations UBC (slightly different - 50 years) 01-080-20 - ER -Human Rights Complaints - https://rmo.sites.olt.ubc.ca/files/2019/01/HR_Classification_Rev0.pdf

Legal & Legislative Compliance

Description:

Records that represent directives, regulation, bills and legislation.

Redirects:

For budget letters see Budgeting & Costing. For collaboration between government and universities on matters of legislation, see Government Relations Management.

Retention:

Keep records for five years after the directive has been replaced with a newer version of itself, then destroy.

PIB:

no

Authorities:

Records relating to legislation are kept for five years to support staff knowledge. Records are ultimately destroyed because the finalized legislation is encoded in publicly available acts. Precedence: Royal Roads University, McGill.

Relevant links:

McGill - 2.008 - Government Laws and Regulations - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-2/details#schedule-rule-2-008> RRU - 0101-20 - Legislation and Directives - Legislation Against (sends to archives): Athabasca - CO150-10 - Legal and Risk Management - Legislative Review Against (sends to archives): Dal - ER51 - Government Liaison

Legal Advisory

Description:

Records representing advice from legal counsel, as well as records pertaining to legal cases involving RRU.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

yes

Authorities:

Records relating to legal matters are kept for seven years to support decision-making related to the legal issue at stake. After seven years, the changing nature of the legal world makes the advice less relevant. Opinions are ultimately sent to archives because they may be needed to contextualize past decisions. Precedence: Simon Fraser University, UBC, University of Victoria, Athabasca.

Relevant links:

Uvic - GV260-70 - Legal Matters - Legal opinions - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=154> SFU - RRSDA 2010-004 - Legal Opinions and Advice - <http://www.sfu.ca/archives2/durrrsdas/2010-004.html> Athabasca - CO150-05 - Legal Advice and Litigation - http://archives.athabascau.ca/irm_program/retention_schedules-draft.php McGill - 2.007 - Legal Case Files and Decisions - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-2/details#schedule-rule-2-007> Against (destroys after seven years): Queens - EX4100-31 Legal Services - Legal Advice Files - <http://records-retention.library.queensu.ca/directory-records.php?series=EX4100.31> Against (destroys after ten years): Queens - EX4100-32 Legal Services - Legal Claim and Litigation Files - <http://records-retention.library.queensu.ca/directory-records.php?series=EX4100.32> Against (destroys at discretion of university lawyers): Dal - GV25 - Legal Actions and Proceedings

Collections Access Management

Description:

Records relating to the management of the library collection. Includes course reserves, interlibrary loans, vendors, donations, collections development, acquisitions, statistics, and check-out records.

Redirects:

For reference questions and research workshops, see Academic Skills Development. For records relating to managing the debt incurred by library fines, see Debt Management.

Retention:

Keep records for seven years from the date of creation, then destroy.

PIB:

yes

Authorities:

Records relating to the routine administration of library collections are kept for seven years to support staff knowledge. They are ultimately destroyed because important projects relating to the library are captured in other categories, such as Strategic Plans, Vision & Strategic Development and General Ledger. Precedence: Royal Roads University, McGill, Athabasca.

Relevant links:

McGill - 1.060 - Inter-Library Loans Files Against (sends catalogues to archives): 1.067 - Museum and Library Catalogues - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-067> RRU - 2400 and 2500 block (research and literacy instruction, reference and research support, circulation, document delivery, interlibrary loan, reserves, acquisitions, cataloguing) Dal - IS050-10 - Circulation and Control Dal - IS050-15 - Reference Support Against: (Sends collection development to archives) - Dal - IS050-05 - Collection Development Queens - OP2280-31 Library Systems - Integrated Library System - Acquisition Module - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2280.31> Queens - OP2280-32 Library Systems - Integrated Library System - Catalogue Module (QCAT) - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2280.32> Queens - OP2280-33 Library Systems - Integrated Library System - Circulation Module - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2280.33> Queens - OP2280-36 Library Systems - Systems Support Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2280.36> Queens - OP2200-32 - Library Planning and Administration - Library Operations Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2200.32> Queens - OP2280 Library Systems » 34 - Integrated Library System - Patron Data - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2280.34> Against (sends planning to archives): Queens - OP2200-31 - Library Planning and Administration - Library Planning Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2200.31> Against (sends special events to archives): Queens - OP2200-33 - Library Planning and Administration - Library Special Events Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP2200.31> Against (sends

planning, systems, operations and issues to archives) - Uvic - GV420-55 - Senate Committee on Libraries - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=277>

Institution Analysis

Description:

Records relating to long-term analysis data that describes the performance of university. May include long-term analysis of a financial nature.

Redirects:

For short-term analysis of a financial nature, see Financial Analysis.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

yes

Authorities:

Records relating to the long-term analysis of data relating to the university is kept for seven years to support staff knowledge. Records are ultimately sent to archives because the data is wide-ranging, complete and important, as evidenced by the fact that it informs a report for government (Institutional Accountability Plan & Report). Precedence: Athabasca.

Relevant links:

Athabasca - GV100-05 - Decision-making - Research and Evaluation

Institution Data Collection

Description:

Records that represent the collection of data pertaining to the university. Includes data submitted to government on enrolment, demographics, programs, grades, degrees conferred and other statistics.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of the records are no longer needed to support projects, then send to archives.

PIB:

yes

Authorities:

Records relating to data on the university are kept for seven years to support staff knowledge. Records are ultimately sent to archives because they represents a complete picture of the organization that is less skewed by analysis than reports, and provides details on the character of the institution. Precedence: University of Victoria, Dalhousie.

Relevant links:

Uvic (slightly different - subject to review by archivist) - SR200 - Reports and Statistics - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=83> Dal - AD70 - Reports and Statistics Against (destroys): Queens - AD9100-12 - General Administration and Operations - Statistical Reports and Surveys - <http://records-retention.library.queensu.ca/directory-records.php?series=AD9100.12> Against (destroys) McGill: 1.009 - Statistics (principal record) - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-009> BC Government (no date). Post-secondary Central Data Warehouse. Retrieved from <https://www2.gov.bc.ca/gov/content/education-training/post-secondary-education/data-research/post-secondary-central-data-warehouse>

Institution Reporting

Description:

Reports relating to the performance of RRU. Includes RRU's annual report for government, and departmental annual reports.

Redirects:

For reports relating to student enrolment, see Offer & Enrolment Management. For reports of a financial nature, see Financial Reporting. For reports relating to human resources, see Workforce Reporting. For reports relating to market analysis, see Program Marketing Research. For reports relating to programs, see Curriculum Quality Management.

Retention:

Keep annual reports for seven years from the date of record creation, then send to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to Royal Roads University's performance are kept for seven years to support staff knowledge. Records are ultimately sent to archives because they represent a summary of the information that government deemed important for understanding the institution. Precedence: McGill, Dalhousie.

Relevant links:

McGill - 1.011 - Reports Produced by University Offices (principal record) - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-011> McGill - 1.007 - Annual Reports to the Principal - Compiled - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-007> Uvic - FM375-08 - Statistical reporting - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=169> Dal - AD70 - Reports and Statistics Royal Roads University (2018). Institutional Accountability Plan & Report. Retrieved from https://www2.gov.bc.ca/assets/gov/education/post-secondary-education/institution-resources-administration/accountability-framework/iapr/2017-18/rru_iapr_2017-18.pdf

Strategic Plans

Description:

Records relating to strategic plans (representing multiple years) and operating plans (representing one year). Includes key performance indicators (KPI), and plans relating to a specific aspect of the university (campus, capital, education).

Redirects:

For the planning of retreats, see Vision & Strategic Development.

Retention:

Keep records for seven years from the date of creation, then send to archives.

PIB:

no

Authorities:

Records relating to strategic plans are kept for seven years to support staff knowledge. Records are ultimately sent to archives because they document the overall direction of the university. Precedence: Dalhousie, University of Victoria, Royal Roads University.

Relevant links:

Dal - GV50 - Strategic Planning Uvic - [GV420- block] - Senate Committee files - <http://webapp.library.uvic.ca/uvicrecords/recordsList2.php?searchall=gv420-&search=Search> RRU - 980 - Business Plan RRU - 985 - Campus Plan RRU - 990- Capital Plan RRU - 995 - Education Plan RRU - 998 -Strategic Plan.

Accommodations Management

Description:

Records relating to accommodations management. Includes housing for faculty, students, and visitors. Records cover homestay lists, fees information, casual bookings, registries, check-ins, and evictions.

Redirects:

For contracts, such as housing contracts or contracts with a homestay service provider, see Contract Management. For financial transactions, see General Ledger.

Retention:

Keep records relating to tenancies for seven years from the date of the tenancy ends, then destroy. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to tenancies are kept for the duration of tenancy to facilitate operational decision-making. Such records are then kept for an additional seven years to meet income tax requirements (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records relating to administration, such as fees, are kept for seven years to support staff knowledge. Ultimately, all records under this category are destroyed because a more concise representation of the overall direction of housing can be found in other records, such as those falling under Strategic Plans. Precedence: Dalhousie, Royal Roads University.

Relevant links:

Dal - (slightly different - destroys after three years) - CS60 - Housing Services RRU - 1930-[secondaries 03-45] - Accommodations Uvic - FM155-30 Accounts Receivable - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=166> Against (destroys after two years): McGill - 8.012 - Residence Client Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-8/8-clients-files#schedule-rule-8-012> Against (destroys after two years): McGill - 8.007 - Housing Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-8/8-clients-files#schedule-rule-8-007> Note: Residential Tenancy Act does not apply to educational institutions - Residential Tenancy Act [SBC 2002] CHAPTER 78 s 4 (b).

Art / Museum Collection Management

Description:

Records relating to the management of art and museum collections. Includes correspondence, research, and exhibit files.

Redirects:

For records relating to the selling of museum and gallery merchandise, see Merchandise Management. For donations, see Donors & Advancement. For one-day events, see Event & Venue Management.

Retention:

Keep records for seven years from the date of record creation, then send to archives.

PIB:

no

Authorities:

Records relating to art and museum collections are kept for seven years to support staff knowledge, and to respect the Limitation Act [SBC 2012] CHAPTER 13, s 6 (1) which indicates that victims have two years to lay charges if artworks are damaged. Records are ultimately sent to archives because they shed light on the culture, art and history of a given timeframe. Precedence: Dalhousie, Simon Fraser University, McGill.

Relevant links:

Dal - IM30 - Acquisitions Dal - IM31 - Collections Management Dal - IM32 - User Support SFU - rrsda 2008-002 - Exhibition Files - <http://www.sfu.ca/archives2/dur-rrsdas/2008-002.html> McGill - 2.004 - Deeds of Donation to Museums - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-2/details#schedule-rule-2-004> McGill - 1.067 - Museum and Library Catalogues - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-067> McGill - 1.066 - Museum Loan Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-066> McGill - 1.051 - Exhibit Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-1/details#schedule-rule-1-051>

Event & Venue Management

Description:

Records relating to events and venues. Includes cultural events, academic events, and dignitary visits. Records cover room request forms, fees information, and agendas.

Redirects:

For records relating to guides to using event management software, see Delivery, Service & Support. For records relating to graduation ceremonies, see Ceremony Management. For financial transactions, see General Ledger.

Retention:

Keep special events for seven years from the date of record creation, then send to archives. . Keep all other records for seven years from the date of record creation, then destroy. Please note: staff member is asked to decide what counts as a special event.

PIB:

no

Authorities:

Records relating to events and venues are kept for seven years to facilitate the planning of future events. Records relating to special events are ultimately sent to archives because they reveal specific details of a time and place relevant to Royal Roads University, as well as staff member perceptions of what counts as special. Records relating to routine events are destroyed because the administration of events is repeated from one event to another, and thus does not contribute to new information in the archives. Precedence: Dalhousie, Simon Fraser University, Athabasca, Queens, Royal Roads University.

Relevant links:

Dal - ER42 - Special Events Dal - ER31 - Exhibitions SFU - RRSDA 2007-001 - Events files - <http://www.sfu.ca/archives2/dur-rrsdas/2007-001.html> Queens - OP1100-31 Advancement Management - Advancement Events - <http://records-retention.library.queensu.ca/directory-records.php?series=OP1100.33> Athabasca - Communications - Special Events - CO250-10 RRU - 1300-20 - Conferences and Events - Conferences RRU - 1300-25 - Conferences and Events - Dignitary Visits RRU - 1300-30 - Conferences and Events - Events

Mail Management

Description:

Records relating to mail management, including postal, courier, and freight systems. Covers schedules of intercampus mail delivery, issues relating to mail, delivery slips, and logs.

Redirects:

No Redirects

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

no

Authorities:

Records relating to the management of mail systems are kept for seven years to facilitate staff knowledge. Records are ultimately destroyed because a more concise representation of the evidence of the mail system can be found in policies and procedures documents. Precedence: Royal Roads University, Dalhousie.

Relevant links:

Dal - CS70 - Mail Services RRU - 0155 [various secondaries] Mail Services

Merchandise Management

Description:

Records relating to merchandise, such as food, textbooks, and other retail items. Records may include vending machine history files, menus, food purchase orders, and bookstore purchase orders.

Redirects:

For records relating to event catering, see Event & Venue Management. For course book requisition forms, see Course Administration. For bookstore financial records, see Accounts Receivable. For contracts, see Contract Management.

Retention:

Keep records for seven years from the date of creation, then destroy.

PIB:

yes

Authorities:

Records relating to merchandise management are kept for seven years because they impact the university's income tax calculations, and are thus subject to the Income Tax Act (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are ultimately destroyed because the transactions are repetitive in a way that does not contribute to new information in the archives and because they reflect consumer choice as opposed to institutional choice. Precedence: Dalhousie, Royal Roads University.

Relevant links:

Dal - CS50 - Food Services RRU - 1100 - Bookstore general RRU - 1120 - Books - prescribed RRU - 1130 - Retail shop

Sport & Recreation Services

Description:

Records relating to the organizing of sport and recreation services. Includes sign-up forms, registrations, equipment, and facilities bookings.

Redirects:

For the organization of non-sporting events, see Event & Venue Management. For advertisements, see Advertising Management. For booking of lodgings, see Accommodations Management.

Retention:

Keep records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to sport and recreation are kept for seven years to support staff knowledge and to ensure that any exchange of money is kept for income tax purposes (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are ultimately destroyed because they reflect a repetitive administrative process. Precedence: Royal Roads University.

Relevant links:

RRU - Health and Fitness - 1000 RRU - Campus Recreation - 1010 RRU - RRU Recreation Centre - 1042 RRU - West Shore Rowing and Paddling - 1044 Against (sends to archives): RRU 0165-25 - Association and clubs - Student association program yearbook

Ethical Clearance Management

Description:

Records that are created by the Ethical Review Board in the process of reviewing research proposals.

Redirects:

No Redirects

Retention:

Keep minutes of the Ethics Review Board meetings, including expressions of dissent, as well as decisions and reasons for decisions for seven years from the date of record creation, then send to archives. Keep all other records for seven years from the date the research project is ended, then destroy.

PIB:

yes

Authorities:

Records relating to the decisions of the ethics review board are kept for archives in order to ""facilitate internal or external audits or reconsiderations or appeals"" (RRU Research Ethics Policy). Records may also be needed to shed light on harms stemming from research. All other records are destroyed because they likely contain repetitive administrative information. Precedence: Waterloo, University of Victoria, Queens, SFU.

Relevant links:

Waterloo - RS55 – Human Research Ethics Clearance - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/rs55-human-research-ethics-clearance-20190506.pdf> Uvic - RE030 Human Research Ethics - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=4> Queens - OP8600-10 Research Ethics Administration - General Research Ethics Board Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP8600.10> SFU - RRSDA 2003-004 - Research Ethics Board Minutes, Agendas and Supporting Papers - <http://www.sfu.ca/archives2/dur-rrsdas/2003-004.html> Against (destroys instead of sends to archives) - Dal - RS21 - Human Research Ethics Clearance Against (keeps evidence that researcher follows protocols, such as certificates of approval, survey questionnaires, consent forms, clinical posting form, and keeps until researcher is terminated): UBC - Human Ethics Committee Files - https://recordsmanagement.ubc.ca/files/2014/09/sched_5-02.pdf

Collaborative Opportunity Management

Description:

Records generated in the process of collaborating with other RRU departments, institutions and organizations on tasks relating to research. Includes participation in multi-institutional research entities, major civic engagement initiatives, and membership in research networks.

Redirects:

No Redirects

Retention:

Keep the records for seven years, then send to archives.

PIB:

no

Authorities:

Records relating to research collaborations across departments and organizations are kept for seven years to support operational decision-making, then sent to archives because they reflect emerging issues of importance. Precedence: Simon Fraser University, Athabasca, University of Victoria.

Relevant links:

SFU - RRSDA 1995-008 - Centres and Institutes Files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-008.html> Athabasca - CO100-05 - External Relations - collaborations Uvic - RE060 Research Support - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=7>

Research Application Management

Description:

Administrative records generated during the processing of research applications. Includes theses and thesis advisory committees submissions.

Redirects:

For research, see Research Data & Reporting. For records reflecting research prioritization, see Vision & Strategic Development. For ethics approval, see Ethical Clearance Management.

Retention:

Keep the records for two years from the date of initial application, then destroy.

PIB:

yes

Authorities:

Records relating to the administration of theses are kept for two years to ensure that any anomalies in the thesis-approval process can be examined. Records are ultimately destroyed because proof of student graduation can be found in the category Student Record Maintenance. Precedence: Simon Fraser University, Queens, Waterloo.

Relevant links:

Queens (slightly different - transfers to student file) - OP4916-10 Thesis Completion - Thesis Examination Committee - <http://records-retention.library.queensu.ca/directory-records.php?series=OP4916.10> Queens -OP4919-30 Departmental Graduate Student Record - Graduate Student Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP4919.30> SFU - (says pending, but rationale indicates destruction) - RRSDA 2006-001 - Student Theses Files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-008.html> Waterloo (slightly different - three years) - TL62 – Theses - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl62-theses.pdf> Against (sends theses records to archives) McGill: - 7.022 - Thesis Records - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-7/7-teaching-research#schedule-rule-7-022>

Research Program Development

Description:

Records related to the application and establishment of research institutes affiliated with RRU, also known as research centres. Research centres typically bring together different academic areas on campus and promote partnerships with external organizations. Includes both rejected and accepted applications.

Redirects:

For records relating to multi-institutional research networks, see Collaborative Opportunity Management.

Retention:

Keep the records for seven years, then send to archives.

PIB:

no

Authorities:

Records relating to research program development are kept for seven years to support operational decision-making. Records are ultimately sent to archives because the process of building each research program is unique, and speaks to one of the core missions of the university. Precedence: Simon Fraser University, University of Victoria.

Relevant links:

Uvic - re070 - research centres - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=8> SFU - rrsda 1995-008 - Centres and institutes files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-008.html>

Commercialise Outcomes

Description:

Records relating to the application of patents made on behalf of RRU staff, students, and faculty.

Redirects:

For records representing an agreement between RRU and the researcher, see Contract Management. For records representing a license for a patent, see Contract Management.

Retention:

Patent applications should be kept for two years from the expiry of the patent, then sent to archives. Keep all other records for seven years from the date of record creation, then destroy.

PIB:

yes

Authorities:

Records relating to patents are kept for the duration of the time the patent is in effect to protect the patent against competing claims. The patent is then sent to archives, because the patent may be needed to clarify subsequent claims, or claims in other jurisdictions. Precedence: Royal Roads University, Simon Fraser University, Athabasca.

Relevant links:

RRU - 0120-02 Legal - General - Patents Athabasca - CO300-05 - Copyright and Trademark - Intellectual Property McGill - 7.018 - Inventions Files - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-7/7-teaching-research#schedule-rule-7-018> Against (destroys records): Dal - GV22 - Intellectual Property Patent Act (R.S.C., 1985, c. P-4) 45 (2) <https://laws-lois.justice.gc.ca/eng/acts/P-4/page-10.html?txthl=years#s-45> Term from date of issue or filing (2) Where the term limited for the duration of a patent referred to in subsection (1) had not expired before the day on which this section came into force, the term is seventeen years from the date on which the patent is issued or twenty years from the filing date, whichever term expires later.

Research Data and Reporting

Description:

Unpublished original research, including successful and unsuccessful grant applications, theses, major projects, research papers, data, consent forms, conference posters, briefs, and articles.

Redirects:

For reports of misconduct, see Dispute Resolution

Retention:

Send theses completed by Royal Roads students to the Library. Keep records that fall under the Food and Drug Regulations for at least 25 years from the date the project has been completed, then destroy (unless there is reason to keep). Keep projects affiliated with faculty at least seven years from the date the project has been completed, then destroy (unless there is reason to keep). Keep records unaffiliated with faculty which do not involve Food and Drug trials for at least one year from the date the project has been completed, then destroy.

PIB:

yes

Authorities:

Records relating to food and drug trials must be kept for 25 years consistent with Food and Drug Regulations (C.R.C., c. 870) C.05.012 (1)). Research data and reporting unrelated to Food and Drug trials should be kept for at least seven years to meet basic accountability requirements. Retention may be extended depending on funder requirements and promises made to interviewees. Precedence: Memorial, Dalhousie, Waterloo, Uvic.

Relevant links:

Dal -(slightly different: five years minimum, not seven) RS01 - Research General Memorial -(slightly different: five years minimum, not seven) Integrity in Scholarly Research Policy 298 s 1.3
<https://www.mun.ca/policy/browse/policies/view.php?policy=298> Waterloo - Minimum data retention periods - <https://uwaterloo.ca/research/office-research-ethics/research-human-participants/pre-submission-and-training/human-research-guidelines-and-policies-alphabetical-list/minimum-data-retention-periods> Waterloo - TL62 – Theses -<https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/tl62-theses.pdf> McGill: 7.027 - Students' Papers - Unclaimed - <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-7/7-teaching-research#schedule-rule-7-027> Against (sends research data pertaining to substantial projects to the archives) Athabasca: RE150-10 - Research projects - Completion, Analysis, and Dissemination Against (keeps until convocation; specifies that copies are to be sent to library) McGill: 7.023 - Theses -<https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-7/7-teaching-research#schedule-rule-7-023> Food and Drug Regulations (C.R.C., c. 870) C.05.012 (1))

Researcher Misconduct

Description:

Records representing inquiries into allegations of misconduct in research committed by members of the university community. If the researcher has been found guilty of misconduct, transfer a summary of the information to either Personnel Record Maintenance, or Student Record Maintenance.

Redirects:

For misconduct cases that do not involve projects focusing on original data, see Student Misconduct

Retention:

Keep the records for twenty-five years from the date of the start of the inquiry, then destroy.

PIB:

yes

Authorities:

Records relating to research misconduct are kept for 25 years from the date of the misconduct. This retention period reflects the fact that research harm may not be realized by the victim, which means that the ultimate (16 year limitation period), applies to these records (Limitation Act [SBC 2012] CHAPTER 13, s 21 (1)). Additionally, the Food and Drug Regulations indicate that records relating to a clinical trial involving humans must be kept for 25 years (Food and Drug Regulations (C.R.C., c. 870) C.05.012 (1)) to ensure that records are available in the event of adverse reactions. On the same reasoning, records relating to research that causes emotional, rather than physical harm, should be made available for the same length of time to provide respite to victims. Precedence: none (most universities have a ten year retention, but this appears to be based on a different limitation period).

Relevant links:

Against (10 years) Queens - OP8650-32 Research Integrity Administration - Research Integrity Files - <http://records-retention.library.queensu.ca/directory-records.php?series=OP8650.32> Against (10 years) RRSDA 1998-027 - Research Misconduct Case Files - <http://www.sfu.ca/archives2/dur-rrsdas/1998-027.html> Against (10 years) RRU - 10 years - ""it is recommended in the RRU Records Classification System that all records relating to issues management and dispute resolution be retained for 10 years to ensure their availability if any legal actions are initiated."" <http://policies.royalroads.ca/procedures/academic-integrity-and-misconduct-procedures-rru-faculty-members-and-staff> Against (3 years) Waterloo RS60 – Research Misconduct Investigations - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/rs60-research-misconduct-20190121.pdf> Food and Drug Regulations (C.R.C., c. 870) C.05.012 (1) Limitation Act [SBC 2012] CHAPTER 13, s 6 (1)

Research Funds Management

Description:

Records relating to the application, processing and evaluation of research grants.

Redirects:

For contracts that stem from grants, see Contract Management. For records reflecting research prioritization, see Vision & Strategic Development.

Retention:

Keep records relating to Drug and Food Trials for twenty-five years from the date of the grant, then destroy. Keep all other records for seven years from the date of the initial application, then destroy.

PIB:

yes

Authorities:

Records relating to the processing of research grants are kept for twenty-five years when related to food and drug trials in accordance with Food and Drug Regulations (C.R.C., c. 870) C.05.012 (1)). All other records are kept for seven years because they may impact the income tax calculations of the university, and are thus subject to the income tax act (Income Tax Act, R.S.C. 1985, c.1 (5th Supp.), s. 230(4)(b)). Records are ultimately destroyed because evidence of research can be found in other categories, and in research publications themselves. Precedence: Simon Fraser University, Royal Roads University, University of Victoria.

Relevant links:

RRU - 3600-30 research - small applied research projects and publications grants SFU - rrsda 2012-002 - external research grants and contracts project files - <http://www.sfu.ca/archives2/dur-rrsdas/2012-002.html>
SFU - rrsda 1995-025 - external research grant files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-025.html>
SFU - rrsda 1996-005 - internal research grant files - <http://www.sfu.ca/archives2/dur-rrsdas/1996-005.html>
SFU - rrsda 1995-026 - research semester research grant files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-026.html>
SFU - rrsda 1995-037 - study leave research grant files - <http://www.sfu.ca/archives2/dur-rrsdas/1995-037.html>
Uvic - re010 research grants - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=258>
UBC - 005-05 Grant Accounts - https://recordsmanagement.ubc.ca/files/2014/09/sched_5-05.pdf
Against (sends to archives) - McGill: 7.016 - Research Grant Files- <https://www.mcgill.ca/library/branches/mua/records-management/murrs/schedule-7/7-teaching-research#schedule-rule-7-016>
Against (sends to archives) - Dal - RS12 - Research Grants and Awards - Internal

Research Infrastructure Management

Description:

Records relating to infrastructure that supports research. Includes records referencing equipment, datasets, and specialized computer systems. Records may document planning, implementation and maintenance activities.

Redirects:

For records that document an overarching strategy to influence the direction of the university, see Vision & Strategic Development. For records pertaining to equipment that do not support research, see Asset Management.

Retention:

Keep maintenance records for the duration of the life of the equipment, then destroy. Keep all other records for seven years, then destroy.

PIB:

no

Authorities:

Records relating to research infrastructure are kept for seven years in accordance with the Income Tax Act, which requires documentation of any items that affect the university's income tax calculations. This seven-year retention is reinforced by the Canada Foundation for Innovation Policy and Procedures guide. Records are ultimately destroyed because evidence of equipment is mentioned in research projects. Precedence: University of Victoria.

Relevant links:

Uvic - RE050 - Special Programs - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=6> Against (send to archives) Athabasca - FS050-05 - Development and Acquisition, Research, Analysis, Evaluation Policy and program guide. 2017. Canada Foundation for Innovation. https://www.innovation.ca/sites/default/files/file_uploads/policy_and_program_guide_2017.pdf

Researcher Training

Description:

Records that stem from the process of training and developing researchers. The emphasis of the training is to produce good research, as opposed to producing academically strong students.

Redirects:

For training that aims to improve student skills, see Academic Skills Development.

Retention:

Keep the records for two years from the date of the training activity, then send to archives.

PIB:

no

Authorities:

Records relating to researching training is kept for seven years to ensure that old versions of training are available for reference. Records are ultimately sent to archives because they represent a concise synthesis of one of the university's core functions (research). Precedence: Simon Fraser University.

Relevant links:

SFU - rrsda 2003-007 - Research Ethics Education Records - <http://www.sfu.ca/archives2/dur-rrsdas/2003-007.html>

Vision & Strategic Development

Description:

Records relating to the development of a vision for the university or a department. Includes meeting minutes, retreat planning, agendas, visioning exercises, and projects.

Redirects:

For strategic plans, see Strategic & Operating Plans. For bios representing board of governor members, see Media Relations. For records relating to the committee on appeals, see Student Misconduct.

Retention:

Keep records for seven years from the date of creation, then send to archives.

PIB:

no

Authorities:

Records relating to the vision and strategic development of the university are kept for archives because they document the core mission of the university. Additionally, records are kept for archives for legal reasons: under the Royal Roads University Act, the university is defined as a corporation (Royal Roads University Act, RSBC 1996, c 409 ss 2.3 (1)). In the Income Tax Regulations, any record of the minutes of meetings of the directors of a corporation must be kept until the corporation is dissolved, plus an additional two years (Income Tax Regulation CRC, c 945 Part LVII). Precedence: University of Victoria, Simon Fraser University, Royal Roads University.

Relevant links:

Uvic - GV060-20 Board of Governors – Dockets and Minutes - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=120> Uvic - GV415-20 Senate – Dockets and Minutes - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=122> Uvic - GV065 Board of Governors Committees – Dockets and Minutes - <http://webapp.library.uvic.ca/uvicrecords/more.php?id=148> Uvic - GV420 [Various Senate Committees] - <http://webapp.library.uvic.ca/uvicrecords/recordsList2.php?searchall=GV420-&search=Search> SFU - rrsda 1996-003 - Board of Governors Committees Files - <http://www.sfu.ca/archives2/dur-rrsdas/1996-003.html> SFU - rrsda 1996-003 - Board of Governors Meeting Support Papers - <http://www.sfu.ca/archives2/dur-rrsdas/1996-002.html> SFU - rrsda 1997-003 - Senate Committee Records - <http://www.sfu.ca/archives2/dur-rrsdas/1997-003.html> Queens - EX1500-10 Board of Trustees - Board of Trustees Committee Minutes - <http://records-retention.library.queensu.ca/directory-records.php?schedule=EX1500> Waterloo - GV25 – Board of Governors - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/gv25-bog-20180403.pdf> Waterloo - (slightly different - senate is subject to review by archivist) - GV60 – Senate Committees and Councils - <https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/gv60-senate-committees-20190506.pdf> Royal Roads University 3 (1) Royal Roads University is continued as a corporation and is composed of the board and convocation. 5800 (1) For the purposes of paragraph 230(4)(a) of the Act, the required retention periods for records and books of account of a person are prescribed as follows: (a) in respect of (i) any record of the minutes of meetings of the directors

of a corporation, (ii) any record of the minutes of meetings of the shareholders of a corporation, (iii) any record of a corporation containing details with respect to the ownership of the shares of the capital stock of the corporation and any transfers thereof, (iv) the general ledger or other book of final entry containing the summaries of the year-to-year transactions of a corporation, and (v) any special contracts or agreements necessary to an understanding of the entries in the general ledger or other book of final entry referred to in subparagraph (iv), the period ending on the day that is two years after the day that the corporation is dissolved; (b) in respect of all records and books of account that are not described in paragraph (a) of a corporation that is dissolved and in respect of the vouchers and accounts necessary to verify the information in such records and books of account, the period ending on the day that is two years after the day that the corporation is dissolved;