

College of Biological Science Retention and Disposition Policy

Subject	College of Biological Science (CBS) Retention and Disposition Policy
Date of effect	November 1, 2017
Date of last revision	N/A
Date due for review	November 1, 2018. Thereafter review at least once every year in line with recommendations in the University of Guelph Records Management policy to ensure that it meets the legal, business and accountability requirements of CBS
Previous policy	N/A
Responsibility for policy and related procedures	Manager, Finance & Administration
Related legal requirements, codes of practice and/or University policies	<ul style="list-style-type: none"> • Ontario “Freedom of Information and Protection of Privacy Act” (“FIPPA”) • University of Guelph Records Management policy • University of Guelph “FIPPA Delegation of Authority” instrument • Employment Standards Act, 2000 • Departmental business needs

CONTENTS

This policy covers the following:

- Purpose
- Scope and Accountability
- Definitions
- Principles
- Roles and responsibilities
- Record Retention and Disposal
- **APPENDIX 1:** Retention and Disposition Schedule
- **APPENDIX 2:** Record of File Destruction Template

PURPOSE

The College of Biological Science (CBS) has developed this policy to:

- Establish standard practice for the retention and disposition of CBS records, regardless of format (whether paper or electronic, including email)
- Establish standard schedule for the transfer / disposal of records (**Appendix 1**)
- Preserve University history (but with the understanding that only a small percentage of records continue to have value indefinitely and are kept permanently)
- Define responsibilities for the creation of policies and standards relating to, and the management of, CBS records.

SCOPE AND ACCOUNTABILITY

All records created, received, and/or maintained by CBS employees and those acting as agents in the course of their duties on behalf of CBS, regardless of physical form or characteristic (including paper, electronic, audiovisual, microform), are considered CBS property and subject to its control.

The policy therefore applies to all staff members of CBS and all its direct predecessor organizations or bodies and covers all records regardless of format, medium or age and impacts upon those who:

- create records, including electronic records (e.g. email);
- have access to records;
- have any other responsibilities for records, for example storage and maintenance responsibilities;
- have management responsibility for staff engaged in any these activities.

DEFINITIONS

Record: Any information contained in any physical medium which is capable of preserving such information. Includes any information contained in the original and in any copy of correspondence, memoranda, forms, directives, reports, drawings, diagrams, cartographic and architectural items, pictorial and graphic works, photographs, films, microforms, sound recordings, videotapes, videodisks, and video cassettes, punched, magnetic and other cards, paper and magnetic tapes, magnetic disks and drums, holographs, working papers, and any other documentary material or electro-magnetic medium - including electronic mail, regardless of physical form and characteristics.

Case File:

A **case file** is a file that contains documents that relate to a specific, time-limited entity or event, such as person, event, project, or organization. A **case file series** is a set of files that deal with similar types of cases, such as client files or project files.

- CBS Case files include employee records and student records. They contain personal information including but not limited to: names, addresses, payroll information, etc.

Subject Files

A **subject file** is a file that contains documents that relate to the same topic or subject matter. They are created because it is easier to retrieve records that are grouped together because they deal with the same subject matter. In practice, subject files are usually based on a topic, a type of document, or a source.

- CBS subject files include but are not limited to journal entries, meeting minutes, general policies, etc

Active Record: A paper or electronic record that is usually less than three years old and to which reference is sufficiently frequent that it must be held in close proximity for operational purposes.

Dormant Record (also: "Semi-Active" records): A record that is usually more than three years old and to which access is neither frequent nor urgent enough to warrant maintenance in relatively expensive office space.

Electronic files: Any electronic record stored either on a personal computer, central computing facility or electronic device. Online storage is usually considered to be records that are located on an active disk or memory device. Offline storage can be any storage medium such as diskette, tape, CD, DVD, etc. or a remote storage facility.

Non-Records (also: "Working", "Unofficial" or "Transitory" records): Records created incidental to performance of the mission. They are "operational", "support", and "service" type records which are considered to be of temporary value to CBS (.e.g. duplicate copies of correspondence, duplicate copies of records used for short term reference purposes, blank forms, and transitory messages used primarily for the informal communication of information, etc.). Transitory messages do not set policy, establish guidelines or procedure, certify a transaction, or become a receipt. Transitory messages may include but are not limited to e-mail messages with short-lived or no administrative value, voice mail, self sticking notes, document drafts, meeting notes, and telephone messages. Non-records and transitory messages should be maintained for as long as administratively needed, and the retention schedules do not apply. Non-records should be discarded when their business use has ended.

Retention Periods: The retention periods indicated in the CBS Retention and Disposition Schedule (Appendix I) are to be used as a recommendation concerning the length of time a record should remain in an active records office or online (A) and the length of time it should be stored in a dormant area (D). This is indicated, for example, by recording "A-2, D-3" for a record having a five-year retention.

PRINCIPLES

Information is a resource of the same importance to good management as other standard resources like people, money and facilities. It represents its collective memory, underpins its daily operation and supports the image it presents to the world outside. The information resources of CBS must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset.

Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems. The college must also be mindful of any security requirements when storing current or archived documents.

ROLES AND RESPONSIBILITIES

The Manager, Finance & Administration is ultimately accountable for the record keeping and records management practices of CBS and ensuring it follows this policy. Note that the University of Guelph “FIPPA Delegation of Authority instrument” recommends that the authority for the development of department-specific records management plans for records containing personal information should be done via records retention schedules filed with relevant Vice-President or, where not applicable, the President.

The Manager, Finance & Administration is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

The Manager, Finance & Administration supports the implementation of this policy and requires each staff member to support the values underlying in this policy.

The Manager, Finance & Administration shall mandate the Administrative Officers/Assistants, the Manager, Research and Graduate Studies, and the Clerical Supervisor to perform such duties as are necessary to enhance the record keeping and records management practices of CBS to enable compliance with legislative and regulatory requirements.

All CBS employees will be responsible for creating and maintaining records in relation to their work that are authentic and reliable.

Staff with specific responsibilities for records management will have these clearly defined in their job descriptions.

RECORD RETENTION AND DISPOSAL

It is important that disposal of records happens as part of a managed process and is adequately documented. Therefore, CBS must have in place clearly defined arrangements for the appraisal and selection of records for disposal, and for documenting this work.

The system should ensure that:

- The appropriate records are reviewed and disposed of / transferred to storage each year in accordance with this policy;
- Documents are maintained in a secure manner and access to documents, both in active and archived states, will be administered in a manner that restricts access for electronic and physical records consistently with the required degree of record security. The responsible office is accountable to ensure that access is appropriately administered;
- Documentation of the disposal/transfer of records is completed and retained;
- Records subject to litigation, investigation and/or a Freedom of Information and Protection of Privacy request are not destroyed. Once the case has concluded, the records may be destroyed in accordance with this policy;
- When authorised, destruction of records must be completed securely, either by using an on-site shredder or through a company specialising in secure document destruction;
- Staff will record the date of the disposal of the records, the month, year and means by which they were destroyed and how many files were destroyed. Care should be taken, however, to not retain identifying personal information in these disposal logs (except perhaps case file numbers or range to document that that specific case was disposed);
- Special care should be taken when disposing electronic documents or media that contain electronic documents. An approved data destruction tool must be used to destroy any electronic data on any device or media prior to disposal of the device/media. A typical “reformat” is not sufficient as it does not overwrite the old data. For assistance or questions on approved destruction methods, please contact the IT Administrator.

APPENDIX 1

CBS Retention and Disposition Schedule

Coding for “Record Security” (indicates degree of record security):

High - Protection of data is required by law or University rules and regulations;

Medium - Protection of data is not otherwise protected by statute or regulation, but University has a contractual obligation to protect the data;

Low – Data has no requirement for confidentiality.

Coding for “Years” (indicates retention length):

A = Length of time retained in active records office or online

D = Length of time retained in dormant or semi-active area

FY = Fiscal Year (May 1 to April 30)

AY = Academic Year (September 1 to August 31)

CY = Calendar Year (January 1 to December 1)

Item No. / Classification No.	Record Security <i>(see above)</i>	Title of Records Series	Format	Office of Primary Interest Office responsible for keeping official or legal copy of record.	Location	Active and Semi-active retention (see above)	Total Retention Year (see above) or Event Trigger + Retention period	Final Disposition Method of disposition (destroyed, transferred or archived)
Finance Files								
1	Medium	Accounts Receivable Records	Digital	Financial Services / Department	FRS [Department file cabinet if not in FRS]	FY D7	Fiscal year + 7 years	Shred

2	Medium	Accounts Payable Records	Digital	Financial Services / Department	FRS [Department file cabinet if not in FRS]	FY D7	Fiscal Year + 7 years	Shred
3	Medium	Signed & Approved Month End Reports (ie. Transaction records, PCard, Express Card)	Paper	Department	Filing Cabinets (Active) and Storage Boxes (Dormant)	FY D7	Fiscal Year + 7 Years	Shred
4	Medium	Original Receipts/Documentation for Month End Reports	Digital/ Paper	Department	FRS [Attached to Transaction Records if not in FRS]	FY D7	Fiscal Year + 7 Years	Shred
5	Medium	Journal Entries	Digital	Department	Office Drive (Active & Dormant)	FY D7	Fiscal Year + 7 Years	Delete
6	High	Scholarships and Awards Records, including applications	Paper/ Digital	Office of Registrarial Services / Dean's Office / Department	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A2 D5	7 Years	Shred / Delete **Names of award winners: Permanent
7	High	Award Terms and Conditions	Paper/ Digital	Dean's Office /Department	Filing Cabinets & Office Drive (Active) and Storage Boxes	A2	Permanent	Digitally Archive terms and conditions. Shred Paper copy

					& Office Drive (Dormant)			
8	High	Award Nominations	Digital	Dean's Office /Department	Office (Active & Dormant)	AY D7	Academic Year + 7 Years	Delete
9	High	External & Internal Financial Reports Used for Decision Making	Digital	Financial Services / Dean's Office	Office Drive (Active & Dormant)	A2 D6	8 Years	Delete
10	High	Fundraising Documents	Paper / Digital	Advancement & Alumni Affairs	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	FY D7	Fiscal Year + 7 years	Shred / Delete
11	High	Research Files	Paper / Digital	Office of Research / Department / Dean's Office	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A: Research Term D7	Research end date + 7 years	Shred / Delete
12	High	Other Financial Files	Paper / Digital	Dean's Office /Department	Filing Cabinets & Office Drive (Active) and Storage Boxes	FY D7	Fiscal Year + 7 years	Shred / Delete

					& Office Drive (Dormant)			
Employee Files								
13	High	Faculty Data Forms	Paper	Dean's Office / Human Resources	Filing Cabinets (Active) and Storage Boxes (Dormant)	A: Active Employment D7	Retirement/ Resignation + 7 Years	Shred
14	High	Staff Data Forms	Paper	Department / Dean's Office / Human Resources	Filing Cabinets (Active) and Storage Boxes (Dormant)	A: Active Employment D7	Retirement/ Resignation + 7 Years	Shred
15	High	Grievance Files / Appeals	Paper / Digital	Department / Dean's Office / Human Resources	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A: Active Employment D7	Retirement/ Resignation + 7 Years	Shred / Delete
16	High	Other Payroll Information	Paper/ Digital	Department / Dean's Office / Human Resources	Filing Cabinets & Office Drive (Active) and Storage Boxes	A: Active Employment	Retirement/ Resignation + 7 Years	Shred / Delete

					& Office Drive (Dormant)			
17	High	Employee Contact Sheets	Paper / Digital	Department / Human Resources	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A: Active Employment D7	Retirement/ Resignation + 7 Years	Shred / Delete
18	High	CV's and Offer Letters	Paper / Digital	Dean's Office / Human Resources	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A: Active Employment D7	Retirement/ Resignation + 7 Years	Shred / Delete
19	High	Salary Increase Letters and Reclassification Letters	Paper	Dean's Office / Department / Human Resources	Filing Cabinets (Active) and Storage Boxes (Dormant)	A: Active Employment D7	Retirement/ Resignation + 7 Years	Shred
20	High	Teaching Evaluations	Digital	Department	Office Drive (Active & Dormant)	A: Active Employment D7	Retirement/ Resignation + 7 Years	Delete
21	Medium	Employment and Faculty Applications	Paper / Digital	Department / Dean's Office	Filing Cabinets &	A1	1 Year	Shred / Delete

					Office Drive (Active)			
22	High	Invigilator Information	Digital	Department / Dean's Office	Office Drive (Active & Dormant)	AY	1 Year	Delete **Names: Permanent
23	High	Other Employee Files	Paper / Digital	Department / Dean's Office / Human Resources	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A: Active Employment D7	Retirement/ Resignation + 7 Years	Shred / Delete
24	High	Tenure Track and Promotion Letters *Note: this is for the official outcome letters. Deliberation notes and departmental assessment files will be shredded following final appeal.	Paper / Digital	Dean's Office	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A: Active Employment	Retirement/ Resignation + 7 Years	Digital Archive / Shred
Student Files								
25	High	Graduate Student Personnel Files	Paper/ Digital	Department Administrators Office	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A: Active Enrollment D7	Graduation +7 Years /or/ Date of last attendance +7 years	Shred / Delete

26	High	Student Final Examinations	Paper	Department / Instructors' Offices	Filing Cabinets (Active)	A	Current + 1 semester	Shred
27	Low	Other Tests/Examinations, Assignments and coursework	Paper	Instructors' Offices	Return to Students	A	Current + 1 semester (if not returned to students)	Return to Students or Shred
28	High	Admission, Registration and Academic History Records	Paper / Digital	Office of Registrarial Services / Office to Open Learning / Department	Filing Cabinets & Office Drive (Active) and storage Boxes & Office Drive (Dormant)	A: Active Student D1	Graduation + 1 Year /OR/ 7 Years after last attendance	Shred / Delete
29	High	Academic Advising Records	Paper / Digital	Program Counsellors' Office / Faculty Advisor's Office	Filing Cabinets & Office Drive (Active) and Storage Boxes & Office Drive (Dormant)	A: Active Student D1	Graduation + 2 Years /OR/ 7 Years after last attendance	Shred / Delete
30	High	Academic Misconduct Files	Digital	Dean's Office	Office Drive (Active & Dormant)	A: Active Student D1	Graduation /OR/ 7 Years after last attendance	Delete; decision summary kept for 10 years
31	High	Deferred Exam Records	Digital	Department	Office Drive (Active)	A2	Most recent 2 years	Update and Delete
Payroll Files								

32	High	Biweekly Control Reports	Digital	Department / Human Resources	Office Drive	A:2	Pay date + 18 Months	Delete
33	High	Sick/Vacation Department Control Reports	Paper	Department / Human Resources	Filing Cabinets (Active)	A:2	Pay date + 18 Months	Shred
34	High	Timesheets	Digital	Department / Human Resources	Filing Cabinets (Active)	A:2	Pay date + 18 Months	Delete
Academic Files								
35	High	Internal Academic Review Records (ex. IQAP)	Digital	Office of the Vice President / Department	Office Drive (Active & Dormant)	AY D8	Graduation + 2 Years /OR/ 7 Years after last attendance	Delete
36	High	Grade Submission Files	Digital	Department/ Registrar	Office Drive	AY	1 Academic Year	Delete
Other								
37	Low	Communications & Public Relations Files	Digital	Communications & Public Affairs / Department	Office Drive	A1	1 year + Permanent Archive	Archive
38	Low	Committee Minutes	Paper / Digital	Dean's Office/Academic Unit	Filing Cabinets & Office Drive (Active & Dormant)	FY + 3 years	Fiscal Year + 3 years	Shred / Delete

39	High	Record of Destruction**	Digital	Department in charge of files destroyed	Office Drive	Permanent / On-Going	Permanent / On-Going	Permanent / On-Going
----	------	-------------------------	---------	---	--------------	----------------------	----------------------	----------------------

NOTE:** All files that are shredded and/or deleted must be recorded in the CBS Record of File destruction template found in the V: drive and in Appendix 2. Ensure that the type of record is recorded as well as their last location, and method of destruction. This document is permanent and must NOT be deleted.

NOTE: Any email pertaining to an official “record” is subject to the same retention and disposition policy as a physical document in the file. Outside of this maintenance, email management is subject to individual document management and email accounts will not be reviewed, purged, etc. This includes but is not limited to; internal reports, back-up for entries, HR discussions. This does not include; discussion related to general office operations, meeting requests or non-work related emails.

Appendix 2: Record of File Destruction

Department

Record of File Destruction

Date Item Destroyed	Item Description	Method of Destruction (Shredding/Deletion)
<i>e.g. 2017/06/30</i>	<i>2009/10 Financial Files</i>	<i>Shredding</i>

NOTE: Record description outlines the main record, not every file, file name, etc. (e.g. 2007/08 financial files)