

Records retention and disposal guidelines

How to use these guidelines:

Record Custodian	Office responsible for maintaining original records; all other “copies” are considered non-record material and may be destroyed once they are no longer required for reference purposes.
Retention	The period of time required by statute, or recommended according to standard business practices, for which the record is required to be kept.
Rationale	Includes the reason for the recommended retention period: federal or provincial law, regulation, or other requirements.
A	Archival value: records have historical or enduring value beyond the life of the institution.
P	Permanent retention: retain for the life of the institution for administrative or legal value.
C +	Current year plus
T +	Termination of an event plus ...

The common records apply to all departments

Common records

Record Type	Retention	Rationale	Remarks
Minutes of Meetings:			
Standing operational or administrative committees (internal)	C+ 5 years	Common practice	The minutes of meetings must be retained by the Dean, who is the Records Custodian.
External committees	C+ 5 years		The College's official representative is the Records Custodian.
Ad hoc/departmental committees	C+ 3 years		The Dean is the Records Custodian.
Agreements/Contracts	T+ 6 years (to expiration or fulfillment of contract + 6 years)	Legal and financial requirements	An agreement provides evidence of 2 or more parties who agree to a relationship with defined terms and conditions and is a source document for all financial transactions.
Correspondence (related to contracts)	T + 6 years	Legal and financial requirements	This supplementary material should be retained as long as the original contract as evidence of fulfillment or changes.
Subject or correspondence files: departmental	C + 5 years	Standard practice	Notes: files should be weeded of transitory documents and only

			primary documents retained for the 5 year period.
Studies: major policy reports and planning studies	P	Common practice	
Studies: minor reports/ operation specific	C + 6 years	Common practice	A judgment call is required to determine whether or not study is of major importance/ impact on College.

The common records apply to all departments

Common records, continued

Policies and directives	A (Master)	Legal, administrative and historical value	Required to be retained and accessible under FOIP regulations. Provides historical record of operations within the College. The body/department which approves the policy is the Record Custodian.
Employee Performance Appraisals (in departments)	Two years in departments (reference copy); originals in H.R.		Shred after two years.
Office administration files (correspondence or subject files)	C + 5 years	Common practice	Files should be weeded of transitory records; retain only primary documents 5 years.

Record custodian: board

Record Type	Retention	Rationale	Remarks
Articles of Incorporation, Constitution and By-Laws	A	Common practice, historical value	
Board minutes, Board Committee minutes	A	Historical value	
Board Members files	C + 6 years		
Register of disclosures	Until obsolete + 6 years		
Board correspondence	P: selective retention		
Signing authority records	Until obsolete + 6 years		

Record custodian: administration (including President's and Management's records)

Record Type	Retention	Rationale	Remarks
Policies and procedures manuals	A (Master); copies destroyed when superseded	Legal, administrative and historical value	Provides historical record of operations with College.
Acts and legislation	Until superseded or obsolete		Other jurisdictions' acts and regulations which impact the operations of the College.
Legal activities and opinions	Until superseded or obsolete	Legal and administrative value	
Organizational structure	A		
Orders and Directives	Until superseded or obsolete + 6 years		
Planning, Goals and Objectives Strategic Plan Business Plan	C + 10 years A A		Note: files should be weeded and only primary documents retained. Do not retain draft plans or background material.
Administrative standing or operational committees: minutes, correspondence, terms of reference	C + 5 years	Common practice	The minutes of meetings must be retained by the Dean, who is the "record custodian".
Ad hoc/departmental committees: minutes, reports, correspondence	C + 3 years	Common practice	The minutes must be retained by the Dean.
External Committee records: minutes, terms of reference, etc.	C + 5 years		
Studies: minor reports/operation specific	C + 6 years	Common practice	A judgement call is required to determine whether or not study is of major importance to the College

Record custodian: administration (including President's and Management's records) cont'd

Record Type	Retention	Rationale	Remarks
Office services: mail and courier	2 years		
Transition files	A: selective retention		
Program/operation specific files	C + 5 years		
Management and program audits	C + 10 years		
Building and site records	Until superseded/obsolete + 5 years		Planning, construction, leasing, maintenance
Funding program files: federal/provincial	Until superseded + 2 years		

Professional Development/ Conferences	2 years		
Incident Reports*	C + 6 years	Legal requirements - statute of limitations	
Student Association reports			
Faculty Association records			

Record custodian: finance/accounting

Record Type	Retention	Rationale	Remarks
Financial policies and manuals	P (Master); copies may be destroyed when superseded		
Audited Financial Statements and reports	A	Financial and historical value	
Budget working papers and supporting documents; reconciliations, monthly statements, summaries, variances, transfers etc.	C + 6 years	Financial value	
Budget, final submission approved by Board	C + 10 years	Financial and historical reference value	
Accounts Receivable records	C + 6 years	Financial value	Records related to the control and operation of receivables; client files, billings, invoices, receipts, monthly revenue reports, fiscal year-end reports and reconciliations.
Banking and cash management records	C + 6 years		Deposit slips, drafts, statements, cheques and cheque registers, reconciliations.
Accounts Payable records	7 years after final payment		Invoices and supporting documentation, packing slips, purchase orders, material requisitions, expense claims, monthly records of payment, fee for service files, honoraria.
General Ledger	A	Financial and historical value	
Month-end cumulative/ summary reports			

Record custodian: finance/accounting, continued

Record Type	Retention	Rationale	Remarks
Statistical reports; expenditures by type, including KPI year-end status reports	C + 6 years		
Statistical reports; trend analysis, budget forecasts	C + 5 years		
Management reports and other reports required to support day to day financial activities	Until superseded or obsolete		

Record custodian: marketing/development

Record Type	Retention	Rationale	Remarks
Calendars	A (Master)	Administrative and historical record of College programs	
Internal newsletters	A (Master); destroy extra copies when superseded or obsolete	Historical value	
Special Events files	T + 2 years		
Publicity and Media Relations material	Until superseded or obsolete + 5 years		News releases, requests for information, news clippings, displays, exhibits, brochures for public distribution, artwork, promotions, hospitality
Marketing benchmarks	Until superseded or obsolete		
Fund development material; marketing plans & strategies	Until superseded or obsolete		
Donor files	C + 6 years		
Donor prospect files	Until superseded or obsolete		
Web site administration			
Reports and statistics	C + 10 years		

Record custodian: information systems

Record Type	Retention	Rationale	Remarks
Material requisitions	Copy: for reference/warranty purposes. Retain until obsolete (usually 3 years)	Administrative value	
Software licenses	T + 6 years	Legal value	
System documentation	Until obsolete + 3 years	Administrative value	Reference materials on particular hardware or software; master discs/ CDs for all software
Electronic systems planning/ evaluation	Until superseded or obsolete + 3 years	Administrative value	Development or consideration of automated systems, including feasibility studies; monitoring software or hardware products.
Tape Library	1 year		All servers are backed up daily; allows restoration of data on a given day to the previous week; tapes are recycled after one year.
Help desk records	C + 3 years	Administrative value	

Record custodian: human resources

Record Type	Retention	Rationale	Remarks
Employee files: General	Minimum 3 years from day each specific record created	Employment Standards Code, S.A. 1988 C.E. - 10	
Employee files : Employment history	T + 10 years	Standard practice in corporate sector	Includes letter of hire, personal information, SIN, position(s), promotions/demotions, classification, etc.
Employee files: Employee financial information	T + 10 years	ESC 1988, C.E. - 10, ss. 2, 18, 19, 20, 118, 122	Includes pay and benefit information, hours, wages, attendance, O/T, time off, wage rate/salary rate, vacation, deductions
Employee files: Supplemental information	T + 10 years	Only retained for short-term administrative use	LTDI, occupational health and safety and grievances. Not part of official employee record.
Employee files: Closed	T + 10 years	Standard business practice	Pension documents separated and retained.
Employee files: Pension records	T + 10 years	Canada Pension Plan, RSC 1985 c. C-8 s. 24,41	
Employee files: Unemployment insurance records	T + 10 years	Unemployment Insurance Act, RSC 1985 c. U-1 ss. 58, 73, 106	

Employee files: Performance Appraisals	T + 10 years	Standard practice	
Collective Bargaining Agreements	P	Standard practice	Precedent information; labour relations history
Union negotiation files	P - selective retention	Reference requirements	Precedent information

Record custodian: human resources, continued

Record Type	Retention	Rationale	Remarks
Discipline documents	T + 10 years (may be purged from file after three years upon request of employee)	Reference requirements	Disciplinary methods for misconduct, discharge, witness statements, legal opinions, investigations
Grievance files	P - selective retention	Standard practice	Includes methods for handling complaints, also demotions and suspensions
Classification files	Current until superseded	Standard practice	Classification systems, standards, and challenges.
Position descriptions	T + 5 years		Record of classification decisions, changes in duties, position transfers, position class titles and working titles
Competition files	T + 2 years	Standard practice	
Unsolicited applications	3 months	Standard practice	STEP, cooperative programs, departmental guidelines, etc.
Occupational Health and Safety (OHS) Committee minutes	P	Required as evidence in environmental and workplace issues	
OHS Programs	Until superseded	Administrative requirements	Includes records of administering programs for health and safety, including ergonomics, noise levels, evacuation procedures, disaster plan
OHS - Hazards	C + 3 years?	Standard practice	Includes accident reports, Workers' Compensation claim information and other reports

Record custodian: human resources, continued

Record Type	Retention	Rationale	Remarks
Pay and Benefits - Administration	Until superseded + 3 years		Includes administration of salary and wage issues, forms, rates of pay, employee benefits such as Blue Cross, AHC and union dues deductions
Compensation Program	Until superseded + 3 years		Selective retention (support information such as

			survey/market information purged
Organizational Information	C + 5 years		Employee surveys
Payroll Administration (for wage and salary employees): Time sheets Yearly salary and wage histories - reports Monthly payroll registers Deductions and withholding reports Taxation reports	T + 10 years to correspond to employee files P P 1 year Until superseded		
Reports and Statistics/ Personnel Management	Until superseded + 1 year	Short-term administrative value	Includes employee information reports, listings of wage employees, classification reporting, organizational charts, pay & benefits reports
Training and Development - in house workshops/seminars	Until superseded	Useful only until course enhanced or terminated	

Record custodian: purchasing

Record Type	Retention	Rationale	Remarks
Bids and bid proposals	C + 6 years	Part of contract process	
Rejected bids	1 year	Common practice	
Material Requisitions	See Accounting - Accounts Payable		Original kept in Purchasing until goods are invoiced, then record transferred to Accounts Payable
Procurement Cards	See Accounting - Accounts Payable		Receipt kept in Purchasing until month end, then transferred to Accounts Payable
Parking records	2 years; keep priority lists current	Administrative use	Stall assignments and priority lists

Record custodian: facilities

Record Type	Retention	Rationale	Remarks
Fleet files	Retain while College in possession of vehicle		Includes vehicle maintenance
Air quality reports	10 years		
Requests for services and work orders	2 years		

Project/contractor files	Currently kept 3 years		Quotes on specific projects, and other project-related information
Incident Reports	C + 6 years	Legal requirements	Records regarding facility-related incidents (mostly lockers)
Inventory records	Until superseded or obsolete		Original reports re: assets (includes capital inventory)
Telecommunications work records	2 years		
Offsite leases	T + 6 years		

Records custodian: registrar/counselling

Record Type	Retention	Rationale	Remarks
Student files - primary documents	P		Original application/ registration, transcripts, withdrawal/ termination forms. Microfiche will be permanent record pre-1992, then SIRS and EMS.
Student files - supporting documents	T + 3 years		Academic counselling notes, instructor comments, pre-entry reporting assessments, academic warnings, financial sponsorship data. (*Clarify re: supporting/primary documents)
Student files - specialized assessments	C + 5 years		
Counselling files (personal; not part of academic record); for the last four years these are only in SIRS	T + 10 years		Personal information, not part of academic record. For the last four years these are found only on SIRS.
Continuing Education applications/files	C + 1 year		(*Clarify definition of continuing education records)

The following records are common to ALL program areas

Program areas

Record Type	Retention	Rationale	Remarks
Register and attendance records	(Master) T+ 2 years	Administrative value	This is a supporting document to student record?
Curriculum records - general	Until superseded or obsolete + 5 years	Useful for history of curriculum, administrative value	Course packs, exams, LMX system data
Curriculum records - course outlines	P	Detailed evidence of course contents	
Minutes and agendas of staff meetings	C + 3 years	Common practice	

Incident Reports (student)*	C + 6 years	Legal requirements - statute of limitations	Incident reports should be consolidated on student file in Registrar's office
Program Proposals	3 years		
Budget tracking records	Until superseded	Reference material (budget detail)	Detailed individual program budgets, proposals for program design
Staff timetables	C + 3 years	Used for statistics	
Instructor schedules	C + 3 years	Used for statistics	
Room allocation records	C + 3 years	Administrative value, KPIs	
Student assessment records	C + 5 years	Retained for same period as curriculum records	
Class lists and attendance records	(Master) C + 3 years		

The following records pertain ONLY to the department specified

Record custodian: English as a second language

Record Type	Retention	Rationale	Remarks
Master registration list of current students; historical lists print out (SIRS)	C + 3 years	Reference only	Information can be recreated for historical searches
Special projects files	C + 10 years	Common practice	Files should be weeded of transitory records; retain only primary documents 10 years

The following records pertain ONLY to the department specified

Record custodian: health and community care

	Retention	Rationale	Remarks
Hospital contracts (letters of understanding for work experience students)	T + 6 years		
Daycare and School Age Children program records	Submitted to Edmonton re: daycare staff qualifications		Attendance lists, session attendance lists, evaluation
Student records: Work experience evaluations Prior Learning Assessments for practical nurses	T + 2 years P		Student files kept one year, then collapsed. Completion/withdrawal forms sent to Registrar.

- Monitor retention re: changes to statute of limitations

The following records pertain ONLY to the department specified

Record custodian: learning resources services

Record Type	Retention	Rationale	Remarks
CML (Computer Managed Learning) records	C + 1 years		Module progress marks
Circulation statistics	C + 3 years	Administrative value	
Resource material database	Until superseded or obsolete		
Departmental records	C + 3 years		Performance measures, cumulative audit information, course management information
AMEE (Adaptive Multimedia Education Enabler) records	3 years		Pilot study
Book and reference material order forms and requests	C + 1 year	Administrative/financial value	
Statistics regarding number of student users of system, number of special needs students (annual & snapshot data)	C + 3 years		
Specialized student assessment records	See Registrar		
Student files (specific information re: students with disabilities)	C + 3 years	Short-term administrative value/trend analysis	

* Monitor retention re: changes to statute of limitations