

UNIVERSITY OF OTTAWA RECORDS RETENTION SCHEDULE

**UNIVERSITY OF OTTAWA ARCHIVES
2007**

1. ORGANIZATION AND MANAGEMENT

ORGANIZATION and MANAGEMENT

All records containing **confidential information** must be destroyed by **shredding**.

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| TYPE OF DOCUMENT | URD | O / C | A | I | D / P | COMMENTS |
|--|---|-------|---|---|-------|--|
| University of Ottawa policies and procedures (Vol. 1 - Vol. 3) | Office of the Secretary | O | 5 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the Office of the Secretary. |
| | Other administrative and academic units | C | 5 | | D | The record is active for as long as the procedure or rule is in effect. It can then be destroyed. |
| Policies and Procedures | Administrative and academic units | O | 5 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 5 | | D | The record is active for as long as the procedure or rule is in effect. It can then be destroyed. |
| Organizational chart | Administrative and academic units | O | 5 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Statistics (about the unit's operations) | Administrative and academic units | O | 2 | 3 | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
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|---|---|-------|---|---|-------|--|
| Progress reports (annual, biennial, etc.) | Administrative and academic units | O | 2 | 3 | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 3 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Thematic correspondence (subject- or project-related) | Administrative and academic units | O | 2 | 3 | P | Send to the AUO: the AUO sorts and selects a sampling. This type of record comes directly from the unit that generated it. |
| | | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Chronological correspondence | Administrative and academic units | O | 2 | 4 | P | Only thematic correspondence has permanent value. |
| | | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Minutes and related materials of University committees, commissions and councils (Senate, Board of Governors, Administrative Committee, executive committees) | Office of the Secretary | O | 5 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the Office of the Secretary. |
| | Other administrative and academic units | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |

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| Minutes and related materials of the unit's committees and councils, including executive committees (Faculty Council, staff meetings) | Administrative and academic units | O | 5 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Memorandums, briefs | Administrative and academic units | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Development plan | Administrative and academic units | O | 5 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |

2. EXTERNAL RELATIONS

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|---|--------------------------------------|-------|---|---|-------|---|
| Press releases and media clippings related to University activities, collated by subject, event, etc. | Administrative and academic units | O | 3 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 3 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| University publications (Gazette, Tabaret, etc.) | Marketing and Communication Services | O | 1 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | Administrative and academic units | C | 1 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Internal publications that are not processed through Communications and Marketing services | Administrative and academic units | O | 1 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 1 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| University staff directories and emergency guides | Computer and Communications Services | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
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|--|-----------------------------------|-------|---|---|-------|---|
| Citations, speeches, introductions for an event, etc. | Administrative and academic units | O | 3 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 3 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Invitations | Administrative and academic units | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Photographic, film or digital documents of events, facilities, staff members, etc. | Administrative and academic units | O | 3 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Promotional material (Poster, trophies, medals, pins, artifact, textile, etc.) | Administrative and academic units | O | 1 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
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|---|---|-------|---|---|-------|--|
| External publications | External organizations | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Complaint, grievance, request for information | Office of the Secretary and Office of the Legal Counsel | O | X | X | D | The Office of the Secretary and Office of the Legal Counsel will sort the records according to the laws in effect. These records come directly from the Office of the Secretary and Office of the Legal Counsel. |
| | Administrative and academic units | C | X | | D | The record is active for as long as it is useful. It can then be destroyed. |

3. FINANCIAL

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|------------------------------------|-----------------------------------|-------|---|----|-------|---|
| University financial statements | Financial Services | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | Administrative and academic units | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| General Ledger of the University | Financial Services | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | Administrative and academic units | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Strategic plan and budget planning | Administrative and academic units | O | 5 | 10 | D | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |

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|---|--|-------|-----|---|-------|---|
| Purchase order, source document, requisition, bid | Materials Management Services, Reprography and Forms Management Services | O | 2 | 5 | D | The AUO will sort the records. This type of record comes directly from the unit that generated it. |
| | Administrative and academic units | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Invoice, request for payment, statement of account or other record of a financial transaction | Administrative and academic units | C | 2-X | D | | The record is active for as long as it is in effect. Retain invoices related to major capital expenditures for as long as the warranties are in effect and the equipment is in use. It can then be destroyed. |
| Invoices, supporting documents regarding the administration of the unit | Research, Grants and Ethics Services, Animal Care and Veterinary Service | O | 2 | 5 | D | The AUO will sort the records. This type of record comes directly from the unit that generated it. |
| See also under Teaching and Research | Administrative and academic units | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |

4. TEACHING AND RESEARCH

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| Contract and agreement with research funding agency | Office of the Vice-President, Research and subordinate units | O | 3 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | Administrative and academic units | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Invoices, documentation supporting research and research protocols See also under Financial | Research, Grants and Ethics Services, Animal Care and Veterinary Service | O | 2 | 7 | D | The AUO will sort the records. This type of record comes directly from the unit that generated it. |
| | | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Research data | Administrative and academic units | O | X | | | To be kept by the unit for the time periods prescribed by the funding agencies and until the research results are published. These records are not sent to the AUO. |
| | | C | 10 | | | The record is active for as long as it is useful. It can then be destroyed. |

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|---|--|-------|---|---|-------|---|
| Calendar of undergraduate, graduate and postdoctoral programs and courses (including all descriptions of the courses offered by the University) | Associate Vice-President, Enrolment Management | O | 1 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| | Administrative and academic units | C | 3 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Course timetable | Associate Vice-President, Enrolment Management | O | 1 | | P | The AUO will sort the records. This type of record comes directly from the unit that generated it. |
| | Administrative and academic units | C | 3 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| General information handbook and other student handbooks | Associate Vice-President, Enrolment Management | O | 1 | | P | The AUO will sort the records. This type of record comes directly from the unit that generated it. |
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| Student special information handbook | Academic units | O | 1 | | P | The AUO will sort the records. This type of record comes directly from the unit that generated it. |
| | Administrative and academic units | C | 3 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Examination questionnaires | Academic units | O | 2 | 15 | P | This type of record, produced by professors, must be submitted to the academic unit. The unit sends it directly to the AUO for sorting and sampling. |
| | Administrative and academic units | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Syllabus and course outline | Academic units | O | 2 | 15 | P | This type of record, produced by professors, must be submitted to the academic unit. The unit sends it directly to the AUO for sorting and sampling. |
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|-------------------------------------|----------------|-------|-----|---|-------|--|
| Professor's papers and course notes | Academic units | O | 10 | | | Professors' personal papers and course notes are to be returned to them. This type of record is not sent to the AUO. |
| Student papers | Academic units | O | ½ * | | D | * The record is active for six months after the student is informed of their final grade. It can then be destroyed. |
| Examination booklet | Academic units | O | ½ * | | D | *The record is active for six months after the student is informed of their final grade. It can then be destroyed. |
| Class list | Academic units | O | ½ | | D | The record is active for as long as it is useful. It can then be destroyed. |
| List of grades and overall averages | Academic units | O | ½ * | | D | * The record is active for 60 days after the date on which transcripts are issued, during which time a student may report any error. It can then be destroyed. |
| Accepted thesis | Academic units | O | 1 | | P* | * The thesis must be sent to the University Library. Also, a copy is microfilmed and deposited with Library and Archives Canada. |
| Rejected thesis | Academic units | O | 2 | 3 | D | The AUO will sort the records. This type of record comes directly from the unit that generated it. |

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|--|---|-------|-----|---|-------|--|
| Statistics, micro-indicator, macro-indicator, statistical report on teaching and courses | Office of Institutional Research and Planning | O | | | P* | *These statistical records from 1995 to present, having permanent value, are kept in electronic format in the system administered by Office of Institutional Research and Planning. The AUO retains records prior to 1995. |
| | Administrative and academic units | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Teaching and courses evaluation questionnaire | Academic units | O | ½ * | | D | Retain until the Committee on the Evaluation of Teaching and Courses authorizes destruction. |
| Undergraduate student academic record (1987 to present) | Associate Vice-President, Enrolment Management | O | 2 | | P* | *Student academic records are kept in electronic format in the student system administered by Strategic Enrolment Management. |
| | Academic units | C | 2 | | D | The record is active for two years after the student's departure, unless there has been an appeal, in which case it can be destroyed two years after the appeal is disposed of. |
| Undergraduate student record of clinical internship (1987 to present) | Academic units (School of Nursing, School of Rehabilitation Sciences) | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |

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|---|--|-------|---|---|-------|---|
| Undergraduate student academic record prior to 1987,(including the clinical internship or training) | Academic units | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| Graduate and postgraduate student academic record (1987 to present) | Associate Vice-President, Enrolment Management | O | 2 | | P* | *Student's academic records are kept in electronic format in the student system administered by Strategic Enrolment Management. |
| | Academic units | C | 2 | 3 | D | The record is active for two years after the student's departure. It is then sent to the AUO, where it is retained for three years. If there has been an appeal, the record can be destroyed two years after the appeal is disposed of. |
| Graduate and postdoctoral student record of clinical internship (1987 to present) | Academic units | O | 2 | 3 | D | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |
| Graduate and postgraduate student academic record before 1987, including clinical internship | Academic units | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |

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| Record of fraud | Academic units | O | 2 | 13 | D | Applies in cases where these records exist only in the academic unit. |
| | | C | 2 | | D | Applies when the case has been defended by the Office of the Legal Counsel. The copies of the academic units are to be destroyed. |
| Student file | Student Academic Success Service (SASS) and its subordinate units | O | 5* | | D | *The record is destroyed five years after the file is opened. |
| File of refused or withdrawn student (before registration) | Academic units | O | 1 | | D | This type of record is not sent to the AUO. The record is active for as long as it is useful. It can then be destroyed. |
| Teaching workloads | Academic units | O | 2 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the unit that generated it. |

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5. HUMAN RESOURCES AND PATIENT RECORDS

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|--|-----------------------------------|-------|---|---|-------|--|
| Recruitment file | Academic and administrative units | O | 1 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Job offer and job application | External organization | O/C | 1 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Refused or withdrawn job application | Academic and administrative units | O/C | 1 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Job description | Human Resources Service | O | 1 | | P | Retain in the AUO: record having permanent value. These records come directly from the Human Resources Service. |
| | Academic and administrative units | C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Staffing file and attendance record | Human Resources | O | 2 | 4 | D | These records come directly from the Human Resources Service. The records will be sorted at the appropriate time by the AUO personnel. |
| Records of support staff or teaching staff | Human Resources | O | X | X | D | These records come directly from the Human Resources Service. The records will be sorted at the appropriate time by Human Resources personnel. |
| | Administrative and academic units | C | 2 | 5 | D | The records will be sorted at the appropriate time by the AUO personnel. |

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| Client record (patient) | Health Services | O | 9 | | D | The document is active for nine years, then destroyed by Health Services. |
| Client record (examination, test, report of interview , diagnosis) | Centre for Psychological Services | O | 2 | 13 | D | Send to the AUO. These are sorted at the appropriate time in the presence of a member of Centre for Psychological Services staff. |
| Client record | Child Study Centre | O | 5 | 20 | D | The records will be sorted at the appropriate time by the AUO personnel. |
| Client/resident record | Housing Services | C | 6 | | D | The document is active for six years, and then destroyed by Housing Services. |

6. PHYSICAL RESOURCES AND EQUIPMENT

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|--|-----------------------------------|-------|---|----|-------|---|
| Supplier's catalogue | Administrative and academic units | O / C | 1 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Equipment manual and guide | Administrative and academic units | O/C | 5 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Inventory | Material Management Services | O | 2 | 13 | P | The unit sends it directly to the AUO for sorting and sampling. |
| | Administrative and academic units | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Loan and rental of equipment | Administrative and Academic units | O/C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Renovation, construction and development | Physical Resources Service | O | 2 | 13 | P | The unit sends it directly to the AUO for sorting and sampling. |
| | Administrative and academic units | C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Booking of facilities, moving | Administrative and academic units | O/C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |
| Security (keys, alarms, etc.) | Administrative and academic units | O/C | 2 | | D | The record is active for as long as it is useful. It can then be destroyed. |

PHYSICAL RESOURCES AND EQUIPMENT

All records containing **confidential information** must be destroyed by **shredding**.

URD: unit responsible for the document; **O:** original – **C:** copy; **A:** active (to be kept in the unit); **I:** semi-active (to be sent to the AUO); **D:** destruction – **P:** permanent retention (in the AUO; available for consultation); **X:** indeterminate period, for as long as the record is useful. The retention periods are in **years**.

| TYPE OF DOCUMENT | URD | O / C | A | I | D / P | COMMENTS |
|------------------|-----------------------------------|-------|----|---|-------|---|
| | | | | | | |
| Plans and maps | Physical Resources Service | O | 5 | | P | Retain in the AUO: record having permanent value. This type of record comes directly from the Physical Resources Service. |
| | Administrative and academic units | C | 10 | | D | The record is active for as long as it is useful. It can then be destroyed. |

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