

RECORDS MANAGEMENT POLICY			
Effective Date	September 1, 2023	Policy Type	Administrative
Responsibility	Vice-President, Corporate Services	Cross-Reference	1. Protection of Privacy 2. Emergency Response and Business Resumption Policy 3. IT Electronic Mail Policy 4. Record Classification and Handling Policy
Approver	Executive Council	Appendices	1. Records Retention and Disposition Schedule 2. Determination of a Record
Review Schedule	Every 5 years		

1. Policy Statement

1.1 Northwestern Polytechnic (“NWP” or “the Institution”) is committed to an efficient and accountable Records Management Program to allow for the proper retention, classification, storage, disposition and protection of the Institution’s records, in accordance with its administrative, fiscal, and legislative requirements.

2. Background

2.1 NWP’s Records Management Program is designed to manage information required to complete business functions of the Institution. It ensures that records are available, costs are controlled, and storage, access, and disposition are administered appropriately in the best interest of the Institution and its stakeholders.

3. Policy Objective

- 3.1 The objectives of this policy are to ensure:
 - 3.1.1 NWP’s Records Management Program complies with applicable legislation, including *Alberta’s Freedom of Information and Protection of Privacy Act (“FOIP”)* and *Post-Secondary Learning Act*.
 - 3.1.2 Document systems (i.e. storage systems, microfilm systems or electronic image technology) used by the Institution comply with all regulatory requirements; contain accessible, authentic, reliable and useable records; and ensure the protection of the integrity of those records for as long as required.
 - 3.1.3 Consistent and proper disposition of records during the normal course of business such that NWP:
 - 3.1.3.1 Meets all legal, legislative and corporate requirements for records keeping.
 - 3.1.3.2 Securely destroys records which no longer have value, in accordance with the document retention schedule.
 - 3.1.3.3 Safeguards the history of the organization.

- 3.1.3.4. Securely stores records of long term or permanent value, including, but not limited to electronic mail ("e-mail") and those required for research, and provide easy access when required.
- 3.1.3.5. Reduces the storage costs associated with retaining infrequently used records in high cost office space or on data servers.

4. Scope

- 4.1 This policy applies to all recorded information received, generated, or used in the course of standard business operations of the Institution.
- 4.2 This policy applies to the master documents of the Institution and any personal records belonging to individuals that is stored in NWP systems or equipment. Records that contain information belonging or pertaining to the Institution, cannot be considered personal records and are in scope for this Policy.

5. Definitions

- 5.1 "Archival Records" are records of historical and enduring value to the Institution. For example, records that document the deliberations, decisions, and actions of the Institution in relation to its assigned business functions, programs and activities. In the records management context, archival records are different from "archived" records in the Information Technology context. Archival Records are those determined to have enduring historical value to the Institution.
- 5.2 "Audit" refers to a chronological record of events that occurred in a computer-based system. An audit trail enables reconstruction of those events.
- 5.3 "Author or Originator" is the person responsible for the content of the document / record (i.e. a metadata attribute).
- 5.4 "Classification" is the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system.
- 5.5 "Closure Criteria" are the actions that needs to occur to close a file and to begin the records retention countdown. For example, after research is complete or the end of the fiscal year.
- 5.6 "Destruction" is the process of eliminating or deleting records, beyond any possible reconstruction.
- 5.7 "Disposition" refers to transfer, destruction or archiving of records.
- 5.8 "Directory" is a simulated file folder or container used to organize documents and directories in a hierarchical or tree-like structure.
- 5.9 "Document" is the recorded information or object that can be treated as a unit. Examples include letters, spreadsheets and e-mail messages.
- 5.10 "Electronic Mail" or "E-mail" is the transmission of messages and documents using computer networks. A widely used form of communication in which persons enter information and transmit it electronically. Recipients can read, print, manipulate, retransmit or delete the original message.
- 5.11 "Electronic Documents" are input, created, manipulated and / or stored on electronic media to show evidence of actions and decisions occurring during the transaction of business. Electronic documents

can be stored on media such as tapes and disks (hard, floppy, optical) or stored in memory on electronic information systems. Electronic documents may be born digital or may be scanned and subsequently stored.

- 5.12 "Final Disposition" is the action taken on all records that have met their closure criteria and all retention periods have passed. In NWP, there are two final dispositions - Destroy and Archives.

- 5.13 "Information" is knowledge, facts or communication created or obtained in any media. Includes linked data such as a message, document, experimental data, a picture, a book, or a whole data bank. Information could be an official or transitory record; or resource material including library publications or knowledge. Information is the overarching term under which all other resource terms are categorized.

- 5.14 "ISO 15489: Information and Documentation – Records Management" is an international records management standard providing policies and procedures to ensure appropriate attention and protection is given to all records, and the evidence and information that they contain can be retrieved efficiently and effectively.

- 5.15 "Legal Hold", also known as "Litigation Hold", is a temporary suspension of the organization's document retention and destruction policies for the documents that may be relevant to a law suit or that are reasonably anticipated to be relevant. It is a stipulation requiring it to preserve all data that may relate to a legal action involving the organization.

- 5.16 "Master Document" is the original version of a record from which copies can be made.

- 5.17 "Media" is an object such as paper, film, disc, or other device, on which information/records are stored.

- 5.18 "Metadata" is data describing context, content and structure of documents and their management through time.

- 5.19 "Official Record" is a record that has some future administrative, financial, legal, research or historical value to the Institution and is therefore protected, managed, retained and filed in a recordkeeping system and disposed according to approved retention schedules. Official records contain the following characteristics:
 - 5.19.1. required to meet statutory obligations;
 - 5.19.2. required to sustain business functions;
 - 5.19.3. impact the functions of the organization;
 - 5.19.4. created or received, filed in recordkeeping systems and maintained by the Institution or under its control in the conduct of business;
 - 5.19.5. show evidence of activity or decision; or
 - 5.19.6. possess longer than immediate value to the Institution and must be retained because they will be referred to again for future decisions, or legal or financial reasons.

- 5.20 "Personal Records" are records belonging to a person employed or contracted by the Institution that do not pertain to a business activity conducted by the Institution. Records that contain information belonging or pertaining to the Institution, cannot be considered personal records.

- 5.21 "Record" is a record of information in any form and includes notes, images, audio-visual recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers and papers and any other information that is written, photographed, recorded or stored in any manner, but does not include software or any mechanism that produces records.
- 5.22 "Recordkeeping System" is a system that captures, manages and provides access to records over time. A recordkeeping system is comprised of the following products/tools:
- 5.22.1. Policy and foundation documents
 - 5.22.2. Institution Recordkeeping Standards classification system, records retention and disposition details, vital records identification, PIB records identification
 - 5.22.3. Records management software, equipment and supplies
 - 5.22.4. Procedures
- 5.23 "Records Management" is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records.
- 5.24 "Records Management Program" is the program which governs the management of records including the creation, handling, control, organization, retention, maintenance, security, preservation, disposition, alienation and destruction of records in the custody or under the control of the organization and for their transfer to an Archives.
- 5.25 "Records Retention and Disposition Schedule" is a documented legal authority that describes the records under the control of a government organization, specifies how long and where the records must be kept as they progress through the phases of their life-cycle, the format in which the record must be stored and what their final disposition will be (destruction or archival preservation) at the end of their life cycle.
- 5.26 "Repository" is the ability to access and use digital information at a location separate from its physical location. For example, shared network drives.
- 5.27 "Tiered Electronic Storage" matches the cost of storage media to the value of the data and how frequently it is accessed. Less-valuable data is general stored on lower tiered electronic storage media.
- 5.28 "Transitory Records" are records in any media that will have no further value or usefulness beyond an immediate and minor transaction; or will only be required for a short time after a transaction, until they are made obsolete by an updated version of a record or by a subsequent transaction, or decision. Transitory records will not be required again to meet an organization's statutory obligations nor to support its administrative or operational functions. Transitory records are typically not filed in official recordkeeping systems.
- 5.29 "Vital Records" are records that are essential for preserving, continuing or reconstructing the operations of the Institution in the event of a loss or disaster and for protecting the rights of Institution, its employees, and stakeholders.
- 5.30 "Version" is a variation of an earlier or original record.

6. Guiding Principles – Record Keeping

- 6.1 NWP will comply with all applicable legislation related to records management and privacy.

- 6.2 NWP will follow the guidelines of ISO 15489 the International Standard on Recordkeeping as well as the Generally Agreed Recordkeeping Principles outlined by the Association for Records Managers and Administrators ("ARMA").
- 6.3 All Institution records are the property of the Institution, irrespective of their form or storage location.
- 6.4 The appropriate care and custody of Institution records is a shared responsibility of all members of the Institution community.
- 6.5 NWP will ensure that all vital records are identified and protected.
- 6.6 NWP will manage its information and control its costs through records management processes that include:
 - 6.6.1. Efficient hard copy and electronic filing systems in central locations where practical
 - 6.6.2. Consistent naming/number identification schemes.
 - 6.6.3. Directory structures and document/folder naming conventions in accordance with or linkable to the NWP Records Retention Schedule.
 - 6.6.4. Controlled access to all official NWP records.
 - 6.6.5. Retention and protection of personal and vital information within records systems.
 - 6.6.6. Timely disposition of records that are not permanent in nature.
- 6.7 The Information and Privacy Coordinator is responsible for ensuring the Institution's compliance with legislation and its policies regarding management of records, as well as development of a comprehensive Records Retention and Disposition Schedule (Appendix 1). The schedule and any amendments should be approved by the Executive Council.

7. Guiding Principles – Records Disposition

- 7.1 NWP will manage the effective disposition of all records in accordance with the NWP Records Retention and Disposition Schedule including secure destruction or placement in an archive.
- 7.2 Records that contain confidential or restricted information, as defined in the Record Classification and Handling Policy, must be destroyed in a secure manner that protects privacy, such as shredding, incineration, or secure digital destruction.
- 7.3 Records containing Public information, as defined in the Record Classification and Handling Policy, may be disposed of in the trash, recycling, or less secure digital destruction.
- 7.4 In the event of litigation, legal hold processes may be adopted. Such a process will ensure that no records related to the litigation are destroyed until the litigation is complete.
- 7.5 All records must be evaluated to determine whether they are "Official Records", "Transitory Records" or "Personal Records". A diagram to assist with this evaluation is included in **Appendix 2**.
- 7.6 Transitory Records should be disposed of as soon as their intended use has ended.
- 7.7 The destruction of Official Records must be documented and appropriately approved in accordance with the Institution's Delegation of Authority, to provide evidence of consistent management of the disposition process.
- 7.8 Official Records will be disposed as follows:

- 7.8.1. NWP will provide systematic and regular transfer of records from office areas or on-line storage to warehouse or off-line storage, as well as ultimate transfer or secure destruction of obsolete records in accordance with the NWP Records Retention and Disposition Schedule in Appendix 1.
- 7.8.2. NWP shall purge department records on an annual basis to remove those not actively required.
- 7.8.3. All purged records (hard copy and electronic) that are no longer required (i.e. non-archival and / or non-vital) will be securely destroyed.
- 7.8.4. Staff should delete all individual records from systems such as notebooks, Smartphone notes, social network posts (such as Facebook and Twitter), at their discretion so long as documentation of business activities or decisions have been moved to an official record keeping system (e.g. file server or enterprise content management repository).
- 7.8.5. NWP will transfer all records designated as archival records to permanent secure storage.
- 7.8.6. The Institution will ensure that no hard copy or electronic record may be destroyed except in accordance with the NWP Records Retention and Disposition Schedule.

8. Guiding Principles – Electronic Documents

- 8.1 Where possible, NWP supports the reduction of paper documents stored by departments and other units through the controlled use of imaging and scanning systems in a cost-effective manner.
- 8.2 NWP will monitor, control and verify the accuracy of electronic documents by:
 - 8.2.1. Designing, implementing, and documenting quality control processes and procedures.
 - 8.2.2. Attesting to the accuracy and validity of records where possible at the time they are created or updated.
 - 8.2.3. Developing and following systematic steps for data entry or indexing.
- 8.3 NWP will ensure timely electronic documents' input, processing, and output by:
 - 8.3.1. Retaining any specially written program used to embed or extract documents from a system
 - 8.3.2. Producing labels for media containing electronic documents that identify the exact title
 - 8.3.3. Creating program unit, date, purpose, source and destination (i.e. storage location) of records.
- 8.4 To ensure records are available and protected, NWP will document the following for all electronic document systems throughout their entire life cycle:
 - 8.4.1. Steps leading up to the storage of records (e.g. process for determining when records should be stored, etc.).
 - 8.4.2. Plans for redressing tampering and deterioration of records.
 - 8.4.3. Steps involved in the retrieval and destruction of records.
 - 8.4.4. Plans for migration of records to new technology, if required.
- 8.5 The Institution will use environmentally protected facilities to store electronic records to ensure they are accessible, useable, and understandable for as long as they are needed.

- 8.6 Procedural documentation must be accurate, up-to-date and maintained by knowledgeable staff; readily available and accessible; clear and understandable to external users as well as current and future employees; current and immediately available if needed for court proceedings or other purposes; and retained pursuant to the NWP's Records Retention and Disposition Schedule.
 - 8.7 To ensure accurate and reliable electronic records, NWP will:
 - 8.7.1 Limit system access and update privileges to appropriate persons and prevent unauthorized modification of electronic records.
 - 8.7.2 Segregate employees' responsibilities to ensure that individuals with an interest in the contents of records do not have access to perform tasks where the integrity of a system can be compromised.
 - 8.7.3 Record who has accessed a system and any changes that occurred during their access.
 - 8.7.4 Maintain disaster preparedness plans and security back-up procedures in accordance with the Emergency Response and Business Resumption Policy.
 - 8.8 When implementing a new system or migrating documents from one system to another, NWP may be required to transfer volumes of old records kept as filed originals, copies, or stored on incompatible media. During transfers of this type, care must be taken to document the procedures followed in transferring these records to ensure the records are not damaged, corrupted or lost.
 - 8.9 The Institution will monitor systems used to store electronic records to determine if unauthorized acts have occurred. The Institution will investigate the unauthorized act to determine how the act occurred, the impact to the electronic records and how the act can be prevented in the future.
- 9. Guiding Principles – E-mail**
- 9.1 E-mail security is a joint responsibility of NWP's Information Technology Department and e-mail users. Users must take all reasonable precautions, including but not limited to safeguarding and changing passwords, to prevent the use of the account by unauthorized individuals.
 - 9.2 E-mail created in the normal course of Institution business and retained as evidence of policies, processes, actions, decisions or transactions are records that are subject to this policy and any specific legislation which may affect retention requirements, such as the *Limitations Act*, *Evidence Act*, and *Income Tax Act*.
 - 9.3 E-mail messages, including personal communications, sent or received through NWP systems may be releasable to the public in the event of inquiries and are not considered personal or private.
 - 9.4 All e-mail messages, including personal communications, may be subject to discovery proceedings in legal actions.
 - 9.5 Records communicated using e-mail need to be identified, managed, protected, and retained as long as they are needed to meet operational, legal, audit, research or other requirements. Examples of messages sent by e-mail that typically are considered records include:
 - 9.5.1 Policies and directives.
 - 9.5.2 Correspondence or memoranda related to official business.
 - 9.5.3 Work schedules and assignments.
 - 9.5.4 Agendas and minutes of meetings.
 - 9.5.5 Drafts of documents that are circulated for comment or approval.
 - 9.5.6 Any document that initiates, authorizes, or completes a business transaction.
 - 9.5.7 Final reports or recommendations.

- 9.6 E-mail records needed to support Institution business should be retained, managed, and accessible separately from the e-mail system in accordance with the Records Classification and Handling Policy. Originators of these e-mails within NWP are responsible for the proper filing and retention of those e-mails. In addition, initial (original) recipients of e-mail from organizations and individuals outside of NWP are similarly responsible for filing such records.
- 9.7 Since e-mail is a communications system, messages should not be retained for extended periods of time and users should remove all e-mail communications in accordance with the Records Retention and Disposition Schedule (Appendix 1). If a user needs to retain information in an e-mail message beyond this time frame, he or she should transfer it from the e-mail system to an appropriate electronic or other filing system.
- 9.8 The following are not considered records and fall under the NWP transitory records retention schedule:
 - 9.8.1. Personal messages and announcements.
 - 9.8.2. Copies or extracts of documents distributed for convenience or reference.
 - 9.8.3. Phone message slips.
 - 9.8.4. Announcements of social events.
- 9.9 Records communicated via e-mail will be disposed of within the record keeping system in which they have been filed in accordance with the NWP Records Retention and Disposition Schedule.
- 9.10 E-mail system administrators will not routinely monitor individuals' e-mail activity and will take reasonable precautions to protect the privacy of e-mail. However, an individual's email may be accessed in accordance with the IT Electronic Mail Policy.

10. Roles and Responsibilities

STAKEHOLDER	RESPONSIBILITIES
Executive Council	<ul style="list-style-type: none"> • Approve and formally support this policy. • Appoints members to the Records Management Council and approves the Council's terms of reference. • Approve the Records Retention and Disposition Schedule.
Vice-President, Corporate Services	<ul style="list-style-type: none"> • Review and formally support this policy.
Information and Privacy Coordinator	<ul style="list-style-type: none"> • Development of the Records Management Program. • Ensures legislative compliance with respect to records-keeping. • Development of a NWP Records Retention and Disposition Schedule. • Management of all disposition activities (e.g. inventories, boxing, transfer, storage, media change, final destruction or permanent storage etc.). • Management of records retention and disposition schedules. • Provides advice on records management.

STAKEHOLDER	RESPONSIBILITIES
Information Technology Director	<ul style="list-style-type: none"> • Management of all electronic document systems or applications that link to or embed documents. • Management of NWP e-mail system.
Deans, Directors and Managers	<ul style="list-style-type: none"> • Ensure that all official business records are regularly transferred to Records Services/Off-site. • Ensure that staff follow all guidelines related to e-mail and document systems.

11. Exceptions to the Policy

- 11.1 Exceptions to the guiding principles in this policy must be documented and formally approved by the Vice- President, Corporate Services.
- 11.2 Policy exceptions must describe:
 - 11.2.1. The nature of the exception
 - 11.2.2. A reasonable explanation for why the policy exceptions are required.
 - 11.2.3. Any risk created by the exceptions to this policy.
 - 11.2.4. Evidence of approval by the Vice-President, Corporate Services.

12. Inquiries

- 12.1 Inquiries regarding this policy can be directed to the Information and Privacy Coordinator and/or the Information Technology Director.

13. Amendments (Revision History)

- 13.1 Amendments to this policy will be published from time to time and circulated to the Institution community.

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Appendix 1 – Records Retention and Disposition Schedule

1. Definitions

- 1.1. "Record Custodian" means the office responsible for maintaining original records; all other "copies" are considered non-record material and may be destroyed once they are no longer required.
- 1.2. "Retention" means the period of time required by statute or recommended according to standard business practices, for which the record is required to be kept.
- 1.3. "Rationale" includes the reason for the commended retention period: federal or provincial law, regulation or other requirements.
- 1.4. A retention value of "A" refers to the Archival Value: records have historical or enduring value beyond the life of the institution.
- 1.5. A retention value of "P" refers to Permanent Retention: retain for the life of the institution for administrative or legal value.
- 1.6. A retention value of "C+X" refers to a retention period of the current year, plus the specified additional period
- 1.7. A retention value of "T+X" refers to a retention period of the end of the applicability of the record, plus the specified additional period.

2. Common Records

Record Type	Retention	Rationale	Remarks
Minutes of Meetings: Standing Operational or Administrative Committees (internal) Academic Council	C + 5 years P	Common practice Common practice	The minutes of meetings must be retained by the Chair who is the Records Custodian. Retained by Governance Assistant.
External Committees	C + 5 years		The Polytechnic's official representative is the Records Custodian.
AdHoc/Departmental Committees	C + 3 years		The Chair is the Records Custodian.
Agreements/Contracts	T + 6 years (to expiration or fulfilment of contract + 6 years)	Legal and financial requirements	An agreement provides evidence of 2 or more parties or agrees 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	Supplementary material should be retained as long as the original contract as evidence of fulfilment or changes.
Subject or Correspondence Files: departmental	C +5 years	Standard practice	Files should be weeded of transitory documents and only primary documents retained for the 5-year period.
Studies: major policy reports and planning students	P	Common practice	
Studies: minor reports/	C + 6 years	Common practice	A judgment call is required to

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Record Type	Retention	Rationale	Remarks
operation specific			determine whether study is of major importance/impact on the Polytechnic.
Policies & Directives	A (Master)	Legal and Administrative	FOIP Act requires it to be retained and accessible. The body/department that approves the policy is the Record Custodian.
Governance Policies/ Academic Policies	A (Master)	Legal and Administrative	Most recent copy only will be retained.

3. Record Custodian: Board of Governors

Record Type	Retention	Rationale	Remarks
Articles of Incorporation	A	Common Practice; Historical Value	
Constitution and By-Laws	P	Common Practice; Historical Value	
Board Minutes	P	Historical Value	
Ad Hoc Board Committee Minutes	C + 3 Years	Common Practice (See: common records)	
Board Members Files	Term of Appt.		Member files are not retained in the Board Office if the member has left the Board. Note* Copies of appointment letters are retained. Originals are the property of the Board members.
Board Correspondence	P: selective retention	Common Practice; Historical Value	

4. Record Custodian: Administration (including Executive records)

Record Type	Retention	Rationale	Remarks
Policies and Procedures Manuals	A (Master); copies destroyed when suspended	Legal, Administrative and Historical Value	Provides Historical record of operations of Polytechnic
Acts and Legislation	Until superseded or obsolete		Other jurisdictions acts and regulations which impact operations of the Polytechnic

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Record Type	Retention	Rationale	Remarks
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		
Administrative Standing or Operational Committees: minutes, correspondence, terms of reference	C + 5 Years	Common Practice	The minutes of the meetings must be retained by the Chair, who is the "record custodian".
Ad Hoc/Departmental committees: minutes, reports, correspondence	C + 3 Years	Common Practice	The minutes must be retained by the Chair.
External Committee Records: minutes, terms of reference, etc.	C + 5 Years		
Office Administration Files (correspondence or subject files)	C + 5 Years		
Studies: Major Policy Reports	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 to the Polytechnic.
Transition Files	A: Selective retention		
Program/Operation Specific Files	C + 5 Years		
Management and Program Audits	C + 10 Years		
Funding Program Files: Federal/Provincial	Until superseded + 2 Years		
Incident Reports	C + 6 Years	Legal Requirements –	

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Record Type	Retention	Rationale	Remarks
		Statute of Limitations	

5. Record Custodian: Academic Departments including Continuing Education and Library

Record Type	Retention	Rationale	Remarks
Budget Tracking Records	Until superseded	Reference Material (Budget Detail)	Detailed individual program budgets, proposals for program design
Student Assessment Records	C	Current Year	Passed onto the registrar's office for permanent retention of selected records
Instructor Schedules	C + 3 Years	Used for statistics	
Curriculum Records – General	Until superseded or obsolete + 5 Years		Exams, modules, prior learning assessments
Curriculum Records – Course Outlines	P	Detailed evidence of course contents	
Office Administration Files (correspondence, minutes or subject files)	C + 5 Years	Common Practice	Files should be weeded of transitory records; retain only primary documents 5 years
Incident Reports (students)	C	Legal requirements – statute of limitations	Incident reports should be consolidated on student files in the Registrar's office.

6. Record Custodian: Community Relations

Record Type	Retention	Rationale	Remarks
Calendars	A (Masters)	Administrative and historical record of Polytechnic programs	
Internal Newsletters	A (Masters); destroy extra copies when superseded or obsolete.	Historical Value	
Special Events Files	T + 2 Years		

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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 Plans & Strategies	Until superseded or obsolete		
Web Site Administration			
Reports and Statistics	C + 10 Years		
Office Administration Files (correspondence or subject files)	C + 5 Years	Common Practice	Files should be weeded of transitory records; retain primary documents 5 years.

7. Record Custodian: Facilities Maintenance & Operations

Record Type	Retention	Rationale	Remarks
Fleet Files	Retain while Polytechnic in possession of vehicle		Includes vehicle maintenance.
Air Quality	10 Years		
Requests for Services and Work Orders	2 Years		
Project/Contractor Files	T + 6 Years		
Incident Reports	C + 6 Years	Legal Requirements	Records regarding facility related incidents.
Offsite Leases	T + 6 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.
Budget Tracking Records	Until superseded		
Building and Site Records	Until superseded/obsolete + 5 Years		Planning, construction, leasing, maintenance

8. Record Custodian: Financial Services

Record Type	Retention	Rationale	Remarks
Financial Policies and Manuals	P (Master); copies may be destroyed when superseded.		
Audited Financial	A	Financial and	

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Record Type	Retention	Rationale	Remarks
Statements and Reports		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	
Contracts	T + 6 Years (provided there is no litigation)	Legal 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	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 & Historical Value	
Month-End Cumulative/Summary Reports	C + 5 Years		
Statistical Reports: expenditures by type, including KPI year-end status reports	C + 6 Years		
Statistical Reports; trend analysis, budget forecasts	C + 5 Years		

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Record Type	Retention	Rationale	Remarks
Management reports and other reports required to support day to day financial activities	Until superseded or obsolete		

9. Record Custodian: Foundation

Record Type	Retention	Rationale	Remarks
Audited Financial Records	P		
Fund Raising	C + 2 Years		
Grant Applications	C		Upon approval of grants, original documents are held in the President's Office.
Office Administration Files (correspondence or subject files)	C + 5 Years		
Alumni Database	P		
Awards	P	Historical Value	Donor information, awards criteria, endowment information

10. Record Custodian: Housing

Record Type	Retention	Rationale	Remarks
Office Administration Files	C + 5 Years	Common Practice	Files should be weeded of transitory records; retain only primary documents 5 years.
Budget Tracking Records	Until superseded		
Incident Reports	C + 6 Years		

11. Record Custodian: Human Resources

Record Type	Retention	Rationale	Remarks
Employee Files: General	Minimum 3 years from day each specific record created.	Employment Standards Code	
Employee Files: Employment History	P		Includes letter of hire, personal information, SIN, position(s), promotions/demotions, classifications, etc.

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Record Type	Retention	Rationale	Remarks
Collective Bargaining Agreements	P	Standard Practice	Precedent information; labour relations history
Negotiations Files	P – Selective Retention	Reference Requirements	Precedent Information
Grievance Files	P – Selective Retention	Standard Practice	
Classification Files	Current until superseded	Standard Practice	Classification systems, standards.
Position Descriptions	T + 5 Years		
Competition Files	T + 1 Year		
Pay & Benefits Administration	Until superseded + 3 Years		Includes administration of benefits issues, forms
Reports & Statistics	Until superseded + 1 Year	Short term administrative value	Organizational charts, employee listings, FTE listings.
Training and Development – In house workshops/seminars	Until superseded	Useful only until course enhanced or terminated.	
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.
Payroll	P		Retain only primary documents; files should be weeded of transitory documents.

12. 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 Accounts Payable		Original kept in purchasing until goods are invoices, then record transferred to accounts payable.
Office Administrations Files (correspondence or subject files.)	C + 5 Years	Common Practice	Files should be weeded of transitory records; retain only primary documents 5 years.

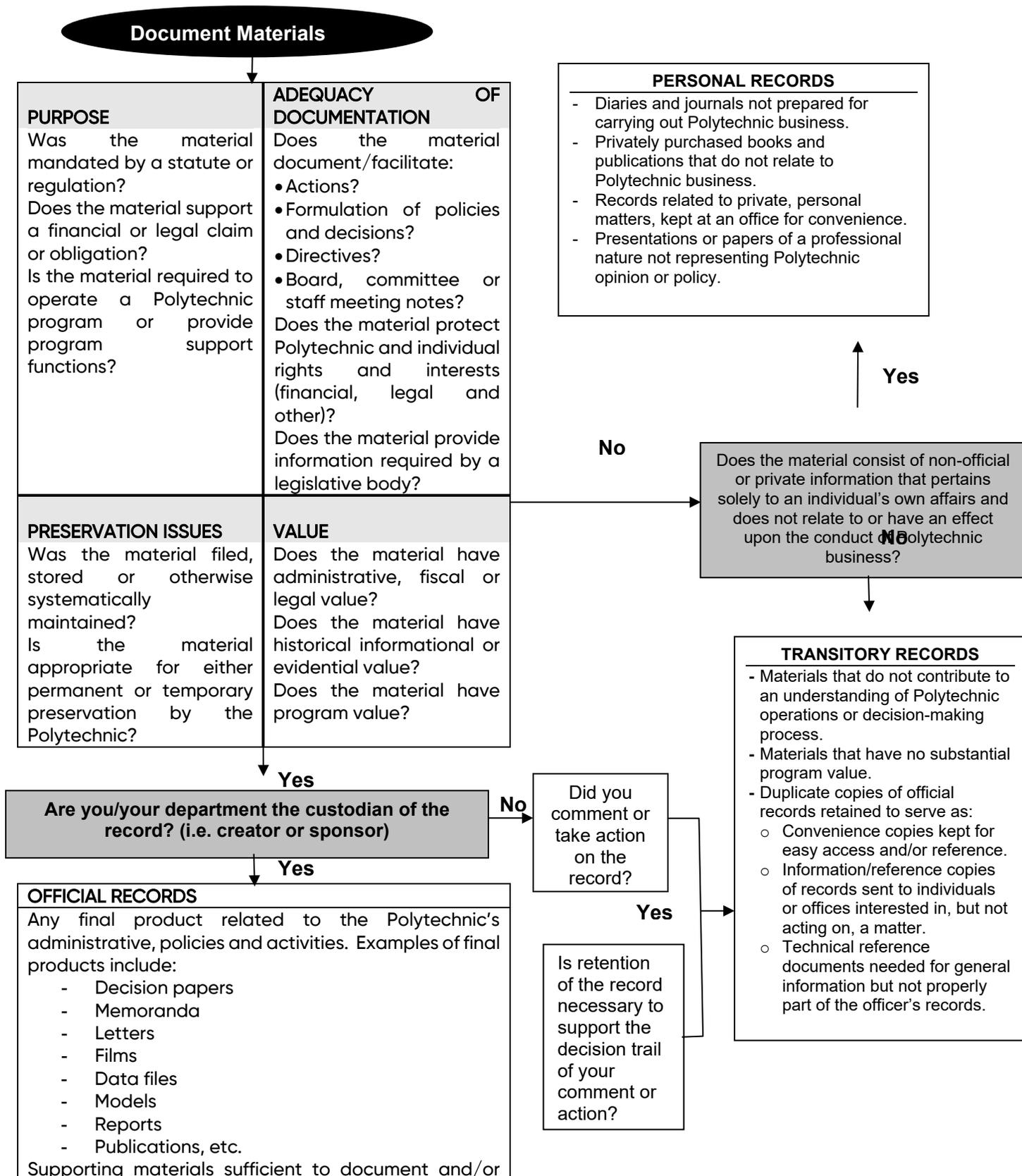
13. Record Custodian: Student Services

RECORDS MANAGEMENT POLICY

APPENDIX 1

Record Type	Retention	Rationale	Remarks
Student Files – Primary Documents	P		Original application/registration, transcripts, withdrawal/termination forms
Student Files – Supporting Documents	T +10 Years		Academic counselling notes, instructor comments, pre-entry reporting assessments, academic warnings, financial sponsorship data
Continuing Education Applications/Files	C +1 Year		
Office Administration Files (correspondence or subject files)	C +5 Years	Standard Practice	Files should be weeded of transitory records; retain only primary documents 5 years.

Appendix 2 – Determination of a Record



RECORDS MANAGEMENT POLICY

explain the document trail/decision making process for administrative, legal, final, program and historical purposes. May include drafts, annotations, reports, raw data, meeting minutes and telephone logs.

Note: Official records may be originals or copies of original records.

