



Records Management Policy

1. Preamble

1.1 Effective records management ensures that all University records are retained for as long as necessary based on their operational, fiscal, legal, and historical value, and are disposed of in an authorized, cost-effective, and organized manner at the end of their retention period.

2. Purpose

2.1. To establish a comprehensive University-wide records management program, including retention and disposition schedules for specific record groups, guidelines, and procedures;

2.2. To ensure that University records are created, maintained, used, destroyed, and/or preserved in a systematic and appropriate manner, in compliance with relevant legislation, national and international standards, and best practices;

2.3. To define roles, responsibilities, and accountabilities for records management.

3. Scope

3.1 This Policy applies to all University Records.

3.2 This Policy applies to all members of the University community responsible for creating, receiving and/or accumulating University Records.

3.2 This policy does not apply to those records that are not University Records as defined in this Policy, including teaching and research records created or acquired by faculty members that are unrelated to the operation and administration of the University.

3.3 If any provision of this Policy is found to be inconsistent with the provisions of a collective agreement, the collective agreement will prevail, unless the Policy provision is required by law, in which case the Policy provision will prevail.

4. Definitions

4.1. University Record(s): means any Record:

4.1.1. in the custody or under the control of the University;

4.1.2. created or received, and maintained as evidence of University decisions, transactions, and relationships; and,

4.1.3. relevant to the administration and operation of the University.

4.2. For greater clarity, records created through research and academic activities that are not used for the administration and operation of University activities are not University

Records. Records related to research and academic activities which are used for the administration and operation of the University (e.g., administrative records, financial records, records that demonstrate compliance with legislative, regulatory, or funding agency requirements) are University Records, in accordance with FOIPOP.

4.3. Record means a record as defined in FOIPOP, including “books, documents, maps, drawings, photographs, letters, vouchers, papers, and any other thing on which information is recorded or stored by graphic, electronic, mechanical or other means, but does not include a computer program or any other mechanism that produces records.

4.4. Active Record: A paper or electronic Record that is usually kept in a department for operational purposes.

4.5. Semi Active Record: Records that are not required constantly for current use and are not frequently referenced.

4.6. Transitory Record: Are draft records that are used to create other records.

4.7. FOIPOP means the [Freedom of Information and Protection of Privacy Act](#) (Nova Scotia).

4.8. Disposition: A range of processes associated with implementing records retention, destruction, or transfer.

4.9. Personal Information: means “information about an identifiable individual”, as defined in FOIPOP, and as outlined in the University’s [Privacy Policy](#).

4.10. Records Retention and Disposition Schedule (RRDS): means the listing in Appendix A of all University Records, classified by function and activities, and applicable to the retention and disposition of Records to ensure they are retained for as long as necessary based on their administrative, legal and historical value.

5. Policy

5.1. The responsibility and accountability for the storage, use, and disposition of University Records is a shared responsibility within the University and the members of the University community authorized to create, use, maintain, access, retain, preserve, and dispose of University Records.

5.2. University Records shall not be removed from the University’s custody or destroyed except in accordance with this Policy, or as required by law.

5.3. Once Personal Information is no longer needed for administrative, regulatory, legal, or historical reasons, it will be disposed of as follows:

5.3.1. Physical Records shall be destroyed by cross-cut shredding or burning. Burning must be outsourced to a licensed facility.

5.3.2. Digital Records shall be deleted in such a way that the information they contained cannot be recovered.

- 5.4. The RRDS developed for the purposes of this Policy shall be in accordance with any relevant provincial or federal statutes, contractual agreements and any other standards that are applicable.
- 5.5. University Records are the property of the University rather than the individual who created or received them.
- 5.6. All members of the University community must retain and dispose of University Records in accordance with this Policy and the RRDS.
- 5.7. Certain positions will be identified as responsible for Records in specified functional areas (Records Stewards). Record Stewards are responsible for overseeing the records management practices of the department or unit that handles those records and for providing input, reviewing, and providing input on the Records for which they are responsible. Records Stewards approve unit-specific retention schedules and authorize the disposition of records.
- 5.8. The University Secretary is responsible for the approval of retention schedules that apply broadly to most or all units (i.e. are not about records specific to one unit) and is involved in authorizing records dispositions in accordance with the Records Destruction Procedure.
- 5.9. The University Archivist is responsible for the final review of records that are designated to be transferred into the University Archives, as identified by the RRDS.
- 5.10. Only those items that are of historical interest or which are required by law to be kept permanently, but which are no longer active, may be designated for transfer to the University Archives. These records may have restrictions placed on them (time-based or access limited to certain internal departments), if required.
- 5.11. Any procedures necessary to support this Policy shall be recommended by the Data Governance Committee to the Vice President Finance and Administration for approval.
- 5.12. The University may act against anyone whose activities are in violation of the law or this Policy. The actions taken may include, but are not limited to the following:
- 5.12.1. In the case of employees, disciplinary action up to and including termination.
 - 5.12.2. In the case of students, disciplinary action under the [Code of Student Conduct](#).
 - 5.12.3. Legal action that could result in criminal or civil proceedings.

6. Relevant Legislation

- 6.1. [Freedom of Information and Protection of Privacy Act, 1993, c. 5, s. 1.](#)

7. Related Policies, Procedures, and Documents

- 7.1. Policies
- [Privacy Policy](#)
 - [Email Policy](#)
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7.2. Procedures:

7.2.1. Records Retention and Disposition Schedule – Appendix A

7.2.2. Follow standardized naming conventions for documents/records.

7.2.3. Destroy transitory records (see the RRDS).

7.2.4. Email that is not a transitory record may constitute a University Record. Refer to [Policy 2-2006 University Email Policy](#).

7.2.5. Follow the RRDS.

7.3. Guidelines:

7.3.1. Contact the Privacy Officer at privacy@smu.ca when questions arise about personal information and privacy.

Additional Approval Information

- a) **Policy Number:** 12-015
- b) **Approving Authority:** President
- c) **Approved:** January 1, 2023
- d) **Responsible Office:** Finance & Administration
- e) **Responsibility:** Vice President, Finance and Administration
- f) **Revision Date(s):** Not applicable
- g) **Supersedes:** Not applicable
- h) **Next Required Review:** 2028

**APPENDIX A - RECORDS MANAGEMENT POLICY
RECORDS RETENTION AND DISPOSITION SCHEDULE (“RRDS”)**

This Schedule sets out the classification scheme and retention schedules for University Records, as defined in the Records Management Policy. This Schedule is organized by university functions and activities, rather than by the organizational units that create and maintain University Records, to ensure that similar records are managed in a similar manner across the University.

4 STEPS FOR MANAGING UNIVERSITY RECORDS

These steps apply to both paper and electronic records.

STEP 1 – CLASSIFY records using the classification framework in this Schedule.

STEP 2 – FILE AND MAINTAIN records.

STEP 3 – RETAIN records for the length of time specified in this Schedule.

STEP 4 – DISPOSE of records as specified in this Schedule once the retention period has ended.

If you require assistance with managing records, contact the University Secretary.

University Records as classified by functions and activities rather than by owner or department, to promote a common language for identifying, labelling, organizing, storing, accessing, retrieving, and disposing of University Records.

These are the 11 organizational functions used to describe University Records:

Code	Function	Description
ADM	Administration	Includes Administrative records common to all departments including general correspondence, project or program management, policies, procedures.
CAM	Campus Operations	Includes records related to non-academic campus activities and sub-functions such as health and wellness, sports and recreation, day care, event management, mail and delivery, food, and retail services to the University community.
EIM	Enterprise Information Management and Technology	Includes records related to access and privacy, archives and library, information technology, hardware, software, networks, information security, and records management.
EXT	Advancement	Includes records related to university advancement, alumni, prospects, volunteers, donors, awards and recognition, communications, government relations, associations, relationships, and marketing and promotion.
FAC	Facilities and Property	Includes records related to buildings or property owned, leased, or constructed, including operations, maintenance, parking,

	Management	inventories, room bookings and utilities.
FIN	Financial Management	Includes records relating to the financial management of the University, including accounting, accounts receivable, accounts payable, audits, banking, budgets, financial reporting, purchasing, procurement, financial risk management, taxes, trusts, and endowments.
GOV	Governance	Includes records relating to bicameral University governance, including Board of Governors, Senate, board committees, board members, elections, and referenda.
HUM	Human Resources	Includes records related to employees, employee relations, compensation, payroll, pension and benefits, recruitment and hiring, training, and development.
REM	Research Management	Includes records related to the administration of research, including partnerships and collaboration applications and proposals, agreements, and projects. Excludes records created or derived from research, academic or scholarly activities.
STU	Students	Includes records related to student academic performance including applications, admissions, discipline, grades, transcripts, and communications. Also included are records related to support services for students including accommodations, advising, employment and careers, exchange and international students, financial assistance, internships, and orientation.
TAL	Teaching and Learning	Includes records related to faculty administrative and teaching functions such as accreditation, courses and curriculums, program reviews, scheduling, and enrolment as well as student evaluation management. Excludes records created or derived from research, academic or scholarly activities.
VPAR	Vice President Academic & Research	Includes records related to faculty relations activities under the jurisdiction of the VPAR, including all records related to the University Appointments Committee and the University Review Committee

The table below provides information on how the Schedule is structured and descriptions for each column. The description includes standard terms used within the Schedule

Column	Description
Records Code	<ul style="list-style-type: none"> Alpha-numeric identifier for Records Class 3 letter Function Code followed by a dash followed by a 4-digit number incremented by 100 for each class Often used as a short form file identifier for both paper and electronic files
Records Class	<ul style="list-style-type: none"> Records Classes or Records Series are common terms used to identify groups of related records Promotes a common language for identifying, labelling, storing, and accessing records

	<ul style="list-style-type: none"> Retention requirements are applied to Records Classes
Scope Notes / Description	<ul style="list-style-type: none"> Describes types of records found within Records Classes, as well as the relationships of terms to each other: <ul style="list-style-type: none"> Includes: identifies types of records found within the Records Class Excludes: identifies one off or exception record types specifically excluded and should be classified elsewhere Notes: describes any other additional information related to that Records Class
Responsible Office	<ul style="list-style-type: none"> Identifies the area or department that has primary responsibility for Records within the class such as Finance, Human Resources or Board Secretariat Originating office means that the primary or responsible office depends on the records, if your area is the creator or source of records, then your office is the Responsible Office If you are not the Responsible Office, then you may <u>not</u> be required to keep records for the retention period specified. If you are unsure if you are responsible, check with the other areas or contact recordsmanagement@smu.ca to verify.
Retention Event	<ul style="list-style-type: none"> Identifies the trigger date or event which starts the Retention clock such as: <ul style="list-style-type: none"> Completion: end of contract, term, process, or project Disposition of Asset: item is decommissioned, disposed of, or sold such as property, equipment, computers, etc. End Year: end of calendar year ending December 31 End Year Academic: end of academic year ending April 30 End Year Fiscal: end of Fiscal year ending March 31 File Closed: date of last item in file Superseded: date document superseded or replaced by a more current version Termination: employment end or termination date used by Human Resources
Retention Minimum (Years)	<ul style="list-style-type: none"> Number of years records need to be retained following Retention Event to meet administrative, operational, fiscal, regulatory, audit or other requirements Many Records Classes have a minimum retention of 1 year, particularly Personal Information, as defined in FOIPOP. To calculate when records are eligible for disposition add the number of years to the latest year and add 1 - this will give you the year in which records can be disposed of. For example: 2005+7+1=2013.
Disposition	<ul style="list-style-type: none"> Defines the process or method for disposing of records when the retention period ends: <ul style="list-style-type: none"> Archives: records of ongoing historical or archival value to the University may be transferred to the custody and responsibility of the University Archives for long term preservation. (Note: this is different from Permanent records and transferring records to storage) Destroy: records that have expired or passed their retention periods will be destroyed and such destruction documented for audit and due diligence purposes Permanent: records that must be retained indefinitely for purposes other than archival selection. Custody and responsibility remain with the

	Responsible Office even if transferred to off campus storage facilities. Disposition processes must maintain the confidentiality and security of records.
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Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
ADMINISTRATION (ADM)						
ADM-0100	Claims and Litigation	Includes court cases, claims or litigation. Note: If there is a legal hold on records do not destroy until authorized by Senior Director, Legal Services	Legal Services/ CC: Originating Office	Completion	10	Destroy
ADM-0200	Contracts and Agreements	Includes contracts and agreements Excludes research-related agreements – see *	Legal Services/ CC: Office of Innovation and Community Engagement (OICE)	Completion	10	Archives
ADM-0300	Executive Records	Includes records (files) created and maintained by members of Executive Management Group (EMG)	Originating Office	File closed Matter completed	3	Destroy, unless Archival or Precedent Value
ADM-0400	Closing Books	Includes real estate or business transaction official documents relating to the purchase, sale, acquisition of land, property, or other assets	Legal Services			Permanent
ADM-0500	Leases	Includes lease negotiations, amendments, and renewals for property, equipment, or other assets.	Legal Services CC: Originating Office	Completion	10	Destroy
ADM-0600	Legal Opinions	Includes legal opinions from external law firms, advisors on matters	Legal Services	Superseded	7	Destroy
ADM-0700	Program Management	Includes records related to departmental development, management, operations, or planning, including meeting, metrics, or reports	Originating	Superseded	7	Destroy
ADM-0800	Policies and Procedures	Includes official, approved policies and procedures	University Secretary CC: Originating	Superseded	7	Archives
ADM-0900	Project Management	Includes records related to projects including project plans, assessments, schedules, status reports or project documents	Originating	Completion	7	Destroy
CAMPUS OPERATIONS (CAM)						
CAM-0100	Investigations	Includes records related to accidents,	Originating	File Closed	7	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
	(Accidents, Security, Emergency, Violence)	security, emergency, violence, human rights incidents, and investigations on campus. Records may include surveillance, photographs, descriptions of individuals, police contact and other case relevant information.				
CAM-0200	Accommodations, Residences and Housing	Includes student residence applications and information, and residence rentals and records	Originating	File Closed	3	Destroy
CAM-0300	Athletics Memberships, Teams and Registrations	Includes sports, athletic and recreational facility memberships, day camps, facility rentals. Records may also include varsity, inter-collegiate, intramural, or other team rosters, schedules, registration. Excludes health or medical records, including drug testing – See CAM-1200	Originating	End Year Fiscal	5	Destroy
CAM-0500	Conference Planning and Management	Includes reservations and files for guests, rentals, or use of campus facilities for conferences and programs	Originating	Completion	3	Destroy
CAM-0600	Events Management	Includes planning, logistics and management of campus events, convocations, celebrations, or ceremonies. Excludes Conferences - See CAM-0500. Communications and artefacts - See EXT-0600.	Originating	Completion	5	Destroy
CAM-0700	Mail and Delivery	Includes postage, mailings, returned, damaged, lost mail and courier or shipping delivery services including freight, customs logs or lists.	Originating	End Year Fiscal	1	Destroy
CAM-0800	MSI Billings	Includes records related to billings for health, medical or counselling services	Originating	End Year Fiscal	10	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
CAM-0900	Patient Health Records	Includes medical, health, counselling, drug, or other medical testing records. Note: If patient is under 19 years old, retention starts when patient turns 19 *According to the Nova Scotia Health, age of maturity is 19 years old*	Originating	File Closed	10	Destroy
CAM-1000	Health Professionals Records	Includes records maintained by regulated health professionals that are not patient specific **All Electronic **	Originating	End Fiscal Year	10	Destroy
CAM-1100	Retail Services	Includes bookstore, orders, sales, inventories, publisher permissions, textbook productions, and other retail operations (not food services)	Originating	End Fiscal Year	7	Destroy
ENTERPRISE INFORMATION MANAGEMENT (EIM)						
EIM-0100	Access Requests	Includes formal access requests under FOIPOP, PHIPA or other access-to-information legislation, including official correspondence such as decision letters. Notes: Original content owner is responsible for retaining original records. Copies of records sent to requesters are not covered by this class. File closed refers to last action in the file whether final letter, appeal, or other legal action.	Privacy Officer Originating	File Closed	5	Destroy
EIM-0200	Archives Management	Includes records related to the acquisition, appraisal, conservation and preservation, arrangement, description and management of archival materials and artifacts maintained by the University Archives.	Library			Permanent
EIM-0300	Copy and Printing	Includes records related to business card,	Originating	End Year	3	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		stationary, degree printing and other photocopy, duplication, print, reproduction or distribution services.		Fiscal		
EIM-0400	Technology Asset Management	Includes records relating to hardware, software, licenses, devices, computers, servers, inventories, and other assets including computers, routers, peripherals and accessories.	EIT	Disposition of Asset		Permanent
EIM-0500	Systems Monitoring	Includes audit logs or other automated system logs for monitoring system performance, including transaction logs, router logs, server errors or access logs. Excludes copies of log files needed to support investigations or incidents - See EIM-0600.	EIT	Superseded	30-60-90 Days depending on the system. Consult with EIT for details	Destroy
EIM-0600	Incidents, Investigations (Information)	Includes records related to incidents, investigations, complaints, or inquiries related to university records or information.	Originating	File Closed	10	Destroy
EIM-0700	Library Management	Includes records related to the Patrick Power Library	Library	File Closed	10	Destroy
EIM-0800	Records Management** VP Finance	Includes records classification, retention schedule, records inventories and destruction records.	Originating	File Closed	10	Destroy
EIM-0900	Software and Applications Management	Includes records related to software and applications development, acquisition, changes, testing and deployment.	Originating	Superseded		Destroy
EIM-1000	IT Infrastructure Projects and Configuration	Includes records related to cabling and network services	Originating	Superseded		Destroy
ADVANCEMENT						

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
EXT-0100	Advancement Campaigns	<p>Includes records related to programs and activities related to ongoing or special development and fundraising campaigns to raise donations for sponsorships, awards or other purposes. Records may include prospect research, donor proposals, feasibility studies, communications, or reports.</p> <p>Excludes Donor specific information - See EXT-0200.</p>	Originating	File Closed Completion		Permanent
EXT-0200	Donors	<p>Includes donor information such as demographic and contact information, relationship to Saint Mary's, gifts, planned giving, commitments and communications.</p> <p>Excludes payment (EXT-0800) and management of funds - See - FIN-1300.</p>	Originating			Permanent
EXT-0300	Alumni	<p>Includes alumni information including contact, history, and relationship to Saint Mary's. Includes Alumni, Alumni No Degree, Associate Alumni, Previous Students, Saint Mary's High School Grads, Honorary Degree Recipients</p>	Originating			Permanent
EXT-0400	Awards, Activities and Recognition	<p>Includes alumni awards and bursaries, honorary degrees, scholarships, plaques, recognition, celebrations, ceremonies, convocation and other events, involvements, interests, and activities, memorabilia, photos, for Alumni, donors, faculty, staff, and community members.</p> <p>Excludes unsuccessful award applicants (Retain for 1 year minimum pursuant to FOIPOP).</p>	Originating	Superseded	7	Archives

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
EXT-0500	Communications	Includes advertising, announcements, reports, brochures, videos, media reports, news releases, newsletters, newspapers, pamphlets, University photos, posters, press releases, University publications, sound recordings, speeches, presentations and addresses. Note: Originating office to contact the Archives for determining transfers.	Originating	Superseded	7	Archives
EXT-0600	External, Government and Media Relations	Includes information related to university relationships with the community, municipal, provincial, federal and other governments, external agencies and organizations as well as the media.	Originating	End Year Fiscal	7	Archives
EXT-0700	Marketing and Promotions	Includes marketing programs to promote the University, including advertising campaigns. Excludes specific artefacts - See EXT-0600.	Originating	End Year Fiscal	5	Archives
EXT-0800	Gift Administration	Includes payment information, direct mail response forms, gift information forms, session paperwork, receipt copies, notes, letters, donor communications.	Originating	End Year Fiscal	7	Destroy
EXT-0900	Gift Agreements	Includes Gift Agreements and Terms of Reference documents	Originating	File Closed		Permanent
EXT-1000	Prospect Research	Includes Prospect Profiles, supporting documentation, primary research, notes, information from 3rd party subscription and/or screening services, and moves management information	Originating	File Closed	10	Archives
FACILITIES AND PROPERTY MANAGEMENT (FAC)						
FAC-0100	Architectural Projects and Specifications	Includes building plans, specifications, drawings, and other construction related records.	Originating	Disposition of Asset	10	Archives

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
FAC-0200	Building Permits	Includes applications and management of building or construction permits	Originating	Completion	7	Archives
FAC-0300	Inventory (of Equipment and Furniture)	Includes inventories of equipment and furniture	Originating	Disposition of Asset	7	Destroy
FAC-0400	Maintenance	Includes service and maintenance requests and repairs for buildings and equipment. Excludes service agreements or contracts - See AD-0200.	Originating	End Year Fiscal	7	Destroy
FAC-0500	Operations (Buildings)	Includes records related to ongoing operations of buildings such as cleaning, waste management and space management.	Originating	End Year Fiscal	7	Destroy
FAC-0600	Room Bookings	Includes meeting rooms, theatre, or other facility bookings as part of ongoing operations. Excludes Conference bookings - See CAM-0500 or CAM-0600.	Originating	End Year Academic	1	Destroy
FAC-0700	Utilities	Includes electricity, energy, water, and other utility maintenance	Originating	End Year Fiscal	10	Destroy
FINANCIAL MANAGEMENT (FIN)						
FIN-0100	Financial Transactions - Processed Centrally	Records documenting the financial transactions managed centrally by the University. All records relating to the management of financial transactions relating to services provided to the University community. Documentation related to the tracking and reporting of the payment of funds and receipt of funds payable to the University. Includes (but not limited to): invoices, purchase orders, deposit summaries, journal vouchers and entries (JV's), year-end working papers,	Financial Services, Planning & Analysis	Fiscal Year	7	Secure Destruction

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		cheques, reimbursements of travel and business expenses, bank generated purchases and credit card transaction statements, cashed cheques and payment request forms, statement of vendor accounts, reconciliations, receipt books, cash flow reports, petty cash administration, supporting documentation and related correspondence. Excludes: Vendor account information; Research Accounting (FIN-0040), General Ledgers (FIN-0030), Tuition payments see Student Accounts (FIN-0050), Consolidation of Financial Statements (FIN-0070); Execution of financial transactions relating to investments see: Investment Management (FIN-140)				
FIN-0200	Financial Transactions - Processed by Unit	Records documenting the management of financial transactions of units that are not processed centrally by Financial Services, Planning & Analysis. Includes (but not limited to): invoices (issued/received), deposit summaries, daily cash floats calculations and tallies, receipts, transaction slips (signed credit card slips, debit payment printouts), point of sale information, billing letters, credit card activity, reports (daily, summary, and audit), packing slips, statements, transfers, reconciliations, deposit books, cashed cheques, petty cash administration, related correspondence and supporting documentation. Excludes: Vendor account information; Research Accounting (FIN-0040), General Ledgers (FIN-0030), Tuition	Unit	Fiscal Year	7	Secure Destruction

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		payments see Student Accounts (FIN-0050), Execution of financial transactions relating to investments see: Investment Management (FIN-0140)				
FIN-0300	Accounting - General Ledgers	Records documenting the processing and payment of all financial transactions of the University. Includes (but not limited to): General Ledgers, charts of accounts, and supporting documentation.	Financial Services, Planning & Analysis	Fiscal Year	7	Transfer to University Archives
FIN-0400	Research Accounting	Records documenting the financial administration of research grants and contracts. Includes (but not limited to): award notices, lists of individuals receiving allowances from the University, applications to open research budget account, financial reports, budget amendments, supporting documents for the control of the research grant budget, analyses, overhead journal files and correspondence.	Financial Services, Planning & Analysis	Superseded / Obsolete	7	Secure Destruction
FIN-0500	Student Accounts	Records documenting the collection and management of tuition and other fees payable by students. Includes (but not limited to): student account statements, records dealing with invoicing, payments and recoveries of tuition fees, issuance of receipts for tax purposes or tuition or other fees. Also includes history of tuition fees paid by individual students.	Unit	Superseded / Obsolete	7	Secure Destruction
FIN-0550	Other Accounts	Records documenting the collection and management of other revenue payable by individuals and organizations for sales and services such as sponsorships, memberships, and rentals. Includes (but				

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		not limited to): account statements, records dealing with invoicing, payments of revenue.				
FIN-0600	Purchase and Travel Cards - Distribution	Records documenting the distribution of purchase cards (Pcards) or travel cards. Includes (but is not limited to): approvals, cancellations, renewals, and changes.	Financial Services, Planning & Analysis	Superseded / Obsolete	7	Secure Destruction
FIN-0700	Consolidation of Financial Statements	Records documenting the preparation and management of the statements required for external audits of the University's financial statements done annually. Includes (but not limited to): copies of material provided to external auditors, audit reports, response(s) to reports, audit tracking, background support material, and related documentation.	Financial Services, Planning & Analysis	Fiscal Year	20	Transfer to University Archives
FIN-0800	Non-Recurring Financial Audits	Records used to document audits of university finances that are conducted by government agencies, private audit firms, or internal auditors. Includes copies of material provided to external or internal auditors, audit reports, responses to reports, audit tracking, background support material, and related documentation. Excludes: Recurring audits of the Consolidated of Financial Statements see: Consolidation of Financial Statements (FIN-0700)	Financial Services, Planning & Analysis	Superseded / Obsolete	7	Secure Destruction
FIN-0900	Debt Management	Records documenting the management of debt management tools. Includes (but is not limited): loans, term loan contracts, guarantees, lines of credit, mortgages, interest rate swaps, and issues of bonds or debentures, covenants, correspondence,	Financial Services, Planning & Analysis	Superseded / Obsolete	5	Secure Destruction

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		and supporting documentation.				
FIN-1000	Endowments	Record documenting the negotiation and administration of endowments and donor agreements. Includes (but not limited to): endowments, donor agreements, instruction of issuance of gifts, history of awards, legal opinions, related correspondence, and supporting documentation. This includes the management of donor agreements and wills.	Advancement	Superseded / Obsolete	6	Transfer to University Archives
FIN-1100	Endowment Management	Records series documenting the ongoing management of endowment funds administered by the University and related investments. Includes (but not limited to): correspondence, probate, share certificates, terms of reference, account statements, financial records and reports, related documentation regarding investment and use of sums of money given to the University by individuals, organizations, or governments for general or specific purposes. Excludes: Endowment Agreements see Endowments (FIN-1000); For execution of financial transactions relating to investments see - Investment Management (FIN-1400)	Financial Services, Planning & Analysis	Fiscal Year	7	Secure Destruction
FIN-1200	Investment Management - Agreements	Records documenting the Investment Management Agreements (IMA). This includes pension and endowment investments. Includes (but not limited to) agreements, banking agreements, certificates, correspondence, and related documentation.	Financial Services, Planning & Analysis	Superseded / Obsolete	7	Secure Destruction

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
FIN-1300	Investment Management - Compliance	Records documenting the management and compliance of Investment Management Agreements (IMA). This includes pension and endowment investments. Includes (but not limited to) externally submitted investment management reports, compliance letters, reports submitted to the relevant university committees, correspondence, and related documentation.	Financial Services, Planning & Analysis	Fiscal Year	7	Secure Destruction
FIN-1400	Investment Management	Records documenting the execution of financial transactions relating to investments. Includes (but not limited to) trade instructions, investment and bank statements, processing of payments, correspondence, and related documentation.	Financial Services, Planning & Analysis	Fiscal Year	7	Secure Destruction
FIN-1500	Management of One Time Grants and Donations	Records documenting the management of funds received by units to complete specifically funded projects. Includes (but on limited to): Applications, receipt of funds, reports, tracking of fund use, supporting documentation, and correspondence. Excludes: Research grants that are part of a government or recognized research funding agency program - See: Research Contracts and Agreements (RS10), Research Grants and Awards - External (RS11), Research Grants and Awards - Internal (RS12)	Unit submitting grant application or receiving donation	Superseded / Obsolete	7	Transfer to University Archives
FIN-1600	Budgets - Units	Records documenting the planning, control,	Units	Fiscal Year	7	Secure Destruction

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		and follow-up of unit budgets and their components (operating funds, investment funds, research funds, trust funds). Includes (but not limited to) year-end financial statements, budget frameworks and rules, budget estimates and submissions, approved budgets and revisions, monthly budget summaries, related documentation, and correspondence.				
FIN-1700	Budgets - University	Records documenting the planning, control, and follow-up of the annual university budget and its components (operating funds, investment funds, research funds, special funds, trust funds). Includes (but not limited to) year-end financial statements, budget frameworks and rules, budget estimates and submissions, approved budgets and revisions, bridging summaries, monthly budget summaries, related documentation, and correspondence.	Financial Services, Planning & Analysis	Fiscal Year	15	Secure Destruction
FIN-1800	Procurement	Records documenting the acquisition of goods and services, including bids, tenders, and competitive selection processes. Includes (but not limited to) contracts, specifications, requests for proposals (RFP), requests for tender (RFT), request for information (RFI) or requests for quotes (RFQ), vendor proposals and bids, department requisition forms, purchase orders, related documentation, and related correspondence	Financial Services, Planning & Analysis	Superseded / Obsolete	7	Secure Destruction
FIN-1900	Acquisition and Disposal - Surplus	Records documenting the acquisition and disposal of surplus material and university-	Financial Services, Planning & Analysis	Superseded / Obsolete	7	Secure Destruction

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
	Material and University-Owned Assets	owned electronic equipment under Procurement procedures. Includes (but not limited to): quotes, related forms, approvals, surplus disposal offers, receipts, E-waste disposal, contracts, certificate of ownership, warranties, related documentation, and correspondence.				
FIN-2000	Taxes	Records documenting registration and accounts for tax matters related to various levels of government. Includes (but is not limited to): tax registration, applications, elections, accounts, research, and opinions.	Financial Services, Planning & Analysis	Superseded / Obsolete	7	Secure Destruction
FIN-2100	Taxes – Returns and filings	Records documenting taxes levied by various levels of government. Includes (but is not limited to): tax statements, declarations or recoveries of sales tax and GST payments, remittance vouchers, excise tax remittances, and records dealing with the issue of charitable receipts.	Financial Services, Planning & Analysis	Superseded / Obsolete	6	Secure Destruction
FIN-2200	Taxes - Issuance of Tax Slips/Receipts	Records series documenting issuance of non-payroll related tax slips/receipts by university units. Includes (but not limited to): Charitable donations. Excludes: Tax slips/receipts related to: Payroll (T4, T4A, & TD1) see: Payroll	Unit Responsible for Issuing	Fiscal Year	7	Secure Destruction
GOVERNANCE (GOV)						
GOV-0100	University Governance	Includes Advisory Councils, Saint Mary's University Act, By-Laws, Delegations of Authority and Signatures, Board Policies	Secretariat			Permanent
GOV-0200	Board and Board	Includes Board of Governors Meeting	Secretariat			Permanent

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
	Committee Meetings	Agendas, Reports, Minutes, and resolutions, and equivalent for all Committees of the Board of Governors.				
GOV-0300	Board Members	Includes Board member information, including appointments and reappointments	Secretariat			Permanent
GOV-0400	Senate	Includes Senate, Senate Standing Committees, Senate Appeals, Appeals Decisions, Hearings, Reports, and Academic Plans	Secretariat			Permanent
HUMAN RESOURCES (HUM)						
HUM-0100	Employee Records (Personnel Files)	Includes resumes, appointment or offer letters, contact data or information, tuition waivers, for all personnel and employee groups, including part-time or casual hires, Accommodations for faculty and staffs Excludes Official files for full and Part time Faculty Records. Excludes pension-related documents Note: Do not Destroy if separation, termination, or litigation issues. Confirm with HR or Senior Director Legal Services prior to records destruction.	People & Culture Originating	Termination	7	Destroy
HUM-0200	Attendance and Scheduling	Includes attendance, leaves of absences, sabbaticals, as well as lieu-time payouts. Timesheets for casual employees only. Vacation Requests kept for a year.	Human Resources Originating	Termination	7	Destroy
HUM-0300	Employee Relations	Grievance and Arbitration Documents Collective Agreements Negotiations Materials Discipline Files [for reference after removal from employee file]	Human Resources	Until matter is Settled Life of Contract Until Employee has	6	Destroy Destroy Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
				left		
HUM-0400	Recruitment and Hiring (Employees)	Submitted resumes Short-listed candidates Hiring committee notes and minutes (HR Recruiting Officer notes only) Successful Candidate (transferred to personnel file) - see HUM-0100 Exit Interviews Exception - Faculty CV's and hiring committee notes are maintained in Academic VP's office.	People and Culture People and Culture People and Culture People and Culture People and Culture	End of competition End of competition End of competition Termination	0 1 1 1	Destroy Destroy Destroy Destroy
HUM-0500	Occupational Health and Safety Records of Workplace Injuries or Occupational Illness Joint Occupational Health and Safety Committee Minutes	Includes training materials, attendance, and evaluations	People and Culture	Termination Meeting Date	6 5	Destroy Destroy
HUM-0600	Organization and Positions	Includes, Job Evaluation Files, Job Fact Sheet, JERF, Appeals, Memos/E-mail Rating Sheets, Job Descriptions, Final Factor Table (NSGEU), Inclusion/Exclusion, Union JE Correspondence, and position descriptions.	Human Resources	Superseded	7	Archive
HUM-0700	Payroll related forms	Includes payroll related records	People and Culture	Termination	7	Destroy
HUM-0800	Pension Files	Individual Employee Pension Files – File is kept on site for 6 years following	People and Culture	Termination	6 + 60	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
	Special Retirement Packages	termination; then sent to off-site storage for 60 years Unique retirement agreements	People and Culture	Termination	60	Destroy
	Pension Contribution Records		People and Culture	Termination	7	Destroy
HUM-0900	Benefits	Insurance and Benefit Forms	Human Resources	Termination	7	Destroy
HUM-1000	Performance Evaluation	Includes employee probation tracking, results of the investigations.	Human Resources	Termination	7	Destroy
HUM-1200	Conflict Resolutions Files	Files opened pursuant to Conflict Resolution Policy		File closure	7	Destroy
RESEARCH MANAGEMENT (REM)						
REM-0100	Intellectual Property	Includes records related to university created intellectual property (i.e., inventions, patents, copyright, trademarks etc.). Records may include invention disclosures, waiver agreements, licenses, assignments market assessments, commercialization plans and other related documents. Excludes intellectual property belonging to researchers	FGSR-OICE (plus Legal Services)			Permanent

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
REM-0200	Partnerships and Collaboration (Projects and Programs)	Includes records related to University level research agreements and partnerships. Records may include committee meetings for Collaborative Projects, exchange agreements, internationally funded partnerships, research agreements, RFPs for collaborative projects for both funded and unfunded projects.	FGSR-OICE	Completion	5	Destroy
REM-0300	Research Contracts and Agreements	Research contracts and agreements. Excludes non-research related agreements- See ADM-0200	FGSR-OICE	Completion	5	Destroy
REM-0400	Research Applications and Proposals	Includes records relating to unsuccessful proposals for research project funding.	Originating	Completion	3	Destroy
REM-0500	Research Projects	Includes capacity-building initiatives, clinical trials, faculty grant proposals, research funding, post doc programs, research grant applications, research integrity, planning, ethics, exchange student research, thesis research. Includes information regarding the funding, subject and monitoring of research projects as well as any agreements with researchers. The actual research content is excluded as specified under other agreements. Excludes Research Ethics - See REM-0600.	OICE Originating	Completion	7	Destroy
REM-0600	Research Ethics	Includes records related to the management of research ethics and Tri-Council, Research Ethics Board (REB).	OICE Originating	Completion	7	Destroy
STUDENTS (STU)						

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
STU-0100	Academic Records	<p>Includes admissions, decision worksheets, enrolment, registration, courses, grades, transcripts, transfer credits, academic standing records, official letters, contact information, graduation audits, discipline and academic appeal decisions, program changes for matriculated students.</p> <p>Note: Supporting information is destroyed after 10 years.</p> <p>**Figure out CRM records**</p>	Registrar			Permanent
STU-0200	Admissions and Applicants (Unsuccessful)	<p>Includes records and all submissions, materials, and supporting documentation for applicants that are not admitted.</p> <p>Note: For applicants that are accepted, admissions information is transferred to their Academic Record.</p>	Registrar	Completion	2	Destroy
STU-0300	Discipline/Appeals - Student Misconduct (Academic and Non-Academic)	<p>Includes records relating to academic and non-academic misconduct where there is a finding. Records may include appeal notices, appeal rulings, medical notes, occurrence reports, probation records, behavior, warnings.</p> <p>Notes: Where there is no finding, records will be destroyed after 1 year pursuant to FIPPA. Decisions affecting Academic Records will be filed with Academic Records. Originating department is responsible for maintaining official records, other copies should be destroyed following the decision.</p>	Originating	Completion	7	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
STU-0400	Financial Assistance (Students)	Includes financial aid, scholarships, and award contracts maintained by the University. **Excludes provincial Student Assistance Program records	Originating	Completion	7	Destroy
STU-0500	Internships (Placements)	Includes clinical placements, co-op programs, experiential learning, internship applications, placements, incidents, preceptor evaluations, provisional contracts, WCB incident reports. **Excludes Agreements with Centers - See ADM-0200.	Originating	Completion	7	Destroy
STU-0600	Recruitment (of Students)	Includes athletic recruitment records **This goes to Admissions**	Originating	File Closed	7	Destroy
STU-700	Academic Accommodation Support	Includes academic accommodation and related supports for eligible students with disabilities.	Originating	File Closed	7	Destroy
STU-0800	Student Affairs and Support Services	Includes administration of a variety of student learning and support programs. Records relating to academic advising, employment and careers, exchange students, international students, diversity and inclusion, orientation, student groups, writing and learning skills.	Originating	File Closed	5	Destroy
STU-0900	General Communications with Students	Includes general inquiries, matters, issues, transcript requests or similar operational records, which must be retained for a minimum of 1 year pursuant to FOIPOP Excludes records related to discipline, appeals or misconduct, see STU-0300.	Originating	File Closed	1	Destroy
STU-1000	Faculty or	Includes Student files maintained within the	Originating	File Closed	7	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
	Department Student Files	<p>departments or faculties, includes local matter files where content is not duplicated elsewhere, i.e., faculty or department holds original records. Where records originate or are maintained by Registrar, local copies should be destroyed after 7 years.</p> <p>Excludes records related to discipline, appeals or misconduct - See STU-0300.</p>				
TEACHING AND LEARNING (TAL)						
TAL-0100	Accreditation	Includes AACSB or other programs requiring or seeking accreditation	Originating	Completion	10	Archives
TAL-0200	Leases, Contracts & Agreements	<p>Leases held off-campus for Extended Learning courses.</p> <p>Wed Course Development Contracts and Project Plans.</p> <p>Extended Learning contracts recommendations.</p> <p>Software and technology licenses and subscriptions</p> <p>Brightspace testing and deployment updates</p> <p>Vendor integration technology with Brightspace licensing, testing, deployment, and operational records</p>	Originating	Completion	10	Archives
TAL-0300	Courses and Curriculum	<p>Includes course listings and descriptions</p> <p>Course and curriculum proposals</p> <p>Course and program modifications</p>	Originating	Completion	10	Archives
TAL-0400	Learning & Development	<p>Online and Extended Learning program documents related to managing and operating the program.</p> <p>External association and organizational</p>	Originating	Completion	10	Archives

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		<p>programs executed by the Studio related to the field of Teaching and Learning and Scholarship of Teaching and Learning. Studio program documents for departmental development, operations, and reports.</p>				
TAL-0500	Student Records & Acquisitions	<p>Includes exams, quizzes, assignments, papers, thesis defense, unclaimed student work.</p> <p>Records, requests, and acquisitions for students enrolled in Online Learning (WW courses) requiring accommodations are supported by Studio staff</p> <p>Records, requests, and acquisitions for students enrolled in Extended Learning programs requiring accommodations are supported by Studio staff</p> <p>Invigilation requests, records, exams, and tests for students enrolled in online (WW courses) are coordinated through the Studio office.</p> <p>General communications with students enrolled in Online Learning and Extended Learning programs are operational records held on file.</p> <p>General communications with faculty enrolled in Studio programs are operational records held on file.</p> <p>General communications with external participants enrolled in interinstitutional programs are operational records held on file.</p> <p>Materials from students applying for the international exchange program and other programs and associated communication,</p>	Originating	End Year Academic	10	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		administration, advising Materials from students applying for international mobility awards or other funding programs, financial support given for repatriation/evacuation during international emergencies				
TAL-0600	Periodic Program Reviews	Includes Academic Program Planning, audits and reviews which are conducted within 8 years of the cyclical review. Project documents related to project planning, producing, testing, and evaluating educational technologies, accessibility, and assistive devices. External association and organizational projects involving the Studio related to the field of Teaching and Learning and Scholarship of Teaching and Learning Note: Senate to retain current and one previous version of PPR, earlier versions to be sent to the Archives after completion of the latest review.	Originating	End Year Academic	7	Archives
TAL-0700	Scheduling and Enrolments	Includes course calendars, schedules and timetables, faculty loadings, and workload analysis for course loadings.	Originating	End Year Academic	5	Destroy
TAL-0800	Research Management & Administration	Proposals for project/funding calls, Contribution/Grant agreements signed with external organizations/agencies (e.g., Department of Foreign Affairs, Trade and	Originating		10	Archives

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		<p>Development Canada, Universities Canada, etc.), records of expenses, payments, payroll for casual staff, etc. as governed by the funding agencies' own retention policies</p> <p>Release of Liability, waiver of claims, assumption of risks and indemnity Agreement, signed by participants in SMU sponsored international program</p>				
TAL-0900	Grants & Awards	<p>Institutional awards and grants through the President's Office and Senate Committee for Learning and Teaching</p> <p>External awards through AAU and Society for Teaching and Learning in Higher Education</p> <p>Research projects deemed successful for Scholarship of Teaching and Learning research granted by Senate Committee for Learning and Teaching</p>	Originating		10	Archives
TAL-1000	Receipts & Invoices	<p>Receipts to support external or institutional programs, Studio programs and events, Online Learning program, extended Learning program</p> <p>Conference and travel expenses for Studio staff</p> <p>Membership and organizational fees for Studio staff</p> <p>Licenses and subscriptions fees for Studio operations</p> <p>Receipts for technology and devices for Studio operations</p> <p>Teaching and lab materials for classroom and remote teaching</p>	Originating		10	Archives

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
VICE PRESIDENT ACADEMIC & RESEARCH (VPA)						
ADMINISTRATIVE						
VPA-0100	Annual Report	Annual Report submitted by faculty member outline all academic, teaching, and services provided for that year Comments and Response from Chair/Coordinator/Director regarding Annual Report Comments and Response from Dean regarding Annual Report Sabbatical Reports can be included in annual report submission for that year	Originating	File Closed		Permanent
VPA-0200	Awards	Grant award letter from External Agency Award letter from SMU Research Committee Congratulatory letters to FM from VPAR and/or President Correspondence with Business Office, if Pertinent	Originating	File Closed		Permanent
VPA-0300	Employment Outside University	FM's request for Permission AVP's memo to FM Adjunct/honorary position at other Institutions.	Originating	Completion	7	Archives
VPA-0400	Sabbatical Leave	Faculty Member's request for sabbatical leave Department's recommendation to dean for sabbatical leave Dean's recommendation to VPAR for sabbatical leave VPAR letter confirming or denying sabbatical leave Sabbatical Report included in Annual Reports	Originating	Completion	7	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
VPA-0500	Leave	Paid maternity leave approval Faculty's request for an unpaid leave and justification for request Department and/or Dean's support or concern regarding request VPAR's letter of approval or rejection of request	Originating	Completion	5	Destroy
VPA-0600	Chair	Vote results and recommendation from department Dean's recommendation to VPAR Offer of Position and Signed Acceptance from VPAR to faculty member	Originating	File Closed	7	Archives
VPA-0700	Associate Dean	Vote results and recommendation from Search Committee Current Dean's recommendation to VPAR Offer of position and signed acceptance from VPAR to faculty member	Originating	File Closed	7	Archives
VPA-0800	Acting Associate Dean	Current Dean's recommendation for appointment VPARS offer letter signed by faculty member	Originating	Completion	7	Archives
VPA-0900	Overload	Documentation regarding overload course work Request and recommendation for overload by department Signed overload contract approved by VPAR	Originating	File Closed	7	Archives
VPA-1000	Course Release	Recommendation for course release from AVP Research and/or Dean Acknowledgement and Approval Letter regarding requests for course releases	Originating	Superseded	5	Archives
VPA-1100	Communication	All general communications throughout university departments regarding the administration of the faculty member or the contract	Originating	Completion	5	Archives

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
VPA-1200	Appointments (General)	Application Package: resume (all other documents are filed under confidential) Department Recommendation and Department Review Checklist Dean's Recommendation for Appointment VPAR's Recommendation to the President President's offer of Position Signed Contract	Originating	Completion	5	Archives
VPA-1300	Renumeration	Overscale Correspondence of Overscale Salary Letters	Originating	Superseded		Permanent
VPA-1400	Renewal of Tenure –Track Appointment	Application including Updated Resume, Annual Report, teaching evaluations, accomplishments, research, and letter of application (additional documentation including letters of reference or votes are in confidential files) Departments recommendation to dean with aforementioned documents Deans' recommendation to VPAR URC's recommendation to VPAR VPAR's recommendation to president Signed contract	Originating	Completed	7	Archives
VPA-1500	Tenure	Application including Updated Resume, Annual Report, teaching evaluations, accomplishments, research, and letter of application (additional documentation including letters of reference or votes are in confidential files) Departments recommendation to dean with aforementioned documents Deans' recommendation to VPAR URC's recommendation to president Signed contract	Originating	Completed	7	Archives
VPA-1600	Tenure	Any additional correspondence or	Originating	Completed	7	Archives

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
	Correspondence	information regarding Tenure positions or promotions will be filed here.				
VPA-1700	Accelerated Promotion	Any promotional material or correspondence that does not qualify in appointment or tenure will be placed here.	Originating	Completed		Permanent
VPA-1800	Complaints Regarding Faculty Member Formal Reprimands	Signed copy of Complaint Faculty Members response to complaint Letter to Faculty member from VPAR and President Any resolution or disciplinary actions following complaint resolution VPAR and Presidents letter of Reprimand for any grievous action	Originating	Completed	7	Destroy
VPA-1900	Documents Pertaining to Disciplinary Decisions Reviews	Any documentation outlining disciplinary decision Justification and explanation regarding the decision and evidence of transgressions Documents and files put forth for review of position	Originating	Completed	7	Destroy
VPA-2000	Grievances	Completed Grievance forms AVP's letter to FM acknowledging receipt Stage 1 – AVP's decision following meeting w/FM Stage 2 - President's decision Documents indicating status of grievance Settlements/withdrawals	Originating	Completed	7	Destroy
VPA-2100	Arbitration Conclusion of all Grievances	Arbitration hearings Documentation outline conclusion of hearings. Withdrawals Settlements	Originating	Completed	7	Destroy
	Sexual Harassment	Committee report	Originating	Completed	7	Destroy

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		President's letter to the faculty member Original complaint Original response Statement of resolution				
VPA-2200	General Documents Award Awards (Confidential)	Cover Letters Minutes from Meetings News articles Publications Grant Application Nomination/Reference Letters for awards	Originating	Completed	7	Archives
VPA-2300	Immigration and Citizenship	Employment Authorization Work Permits Permanent Residence Documentation Personal Identification	Originating	Completed		Permanent
VPA-2400	References and Qualification	Letters of reference from Saint Mary's University or Alternative Institutions Letters of reference from prior work experience	Originating		5	Destroy

