



## First Nations University of Canada

### Records Management Retention and Disposal Schedule

The purpose of the Records Management and Retention Policy is to ensure FNUniv's records are protected and maintained as valuable business assets while they are useful and properly archived or destroyed when they are no longer needed to conduct business.

#### SCHEDULE 1

#### ADMINISTRATIVE/OPERATIONAL (GENERAL)

OFFICIAL RECORD HOLDER	RECORD TYPE	MINIMUM RETENTION PERIOD	FINAL DISPOSITION	COMMENTS
President's Office	Annual Report and other significant publications	Permanent	N/A	
Director of Finance	Emergency measures (disaster recovery planning and emergency procedures)	7 years after superseded or obsolete	Destroy	
Office of the Board of Governors	Official policies and procedures	Permanent	N/A	
Communications	Media advisories and releases, media enquiry files and media coverage	3 years	Destroy	
Communications	Advertising and marketing campaigns	7 years	Destroy	

Various (OOS Manager)	Agreements, memorandums of understanding, articulations agreements, etc.	7 years after superseded or termination of agreement	Appraise for destruction	
Registrar's Office	Census data, official statistical reports, and formal institutional surveys	Permanent	N/A	
Various (OOS Manager)	Complaints and investigations	7 years	Appraise for destruction	
Various (OOS Manager)	Conference and seminars presentation material	3 years	Destroy	
Director, Finance	Emergency measures (contact lists)	2 year after superseded or obsolete	Destroy	
Various (OOS Manager)	Fraud and alleged fraud	7 years	Appraise for destruction	
Various (OOS Manager)	General administrative or operational records	3 years	Destroy	
Various (OOS Manager)	Legal opinions, challenges and judicial opinions	10 years after superseded or obsolete	Selective retention	
Various (OOS Manager)	Marketing materials	2 year after superseded or obsolete	Destroy	One copy of marketing materials should be retained for 2 year. Additional copies may be destroyed, if appropriate
Communications / Various (OOS Manager)	Memorabilia (FNUniv) of historical significance	Permanent	N/A	One of each memorabilia should be retained

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 2 of 15
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Director, Finance	Risk management and insurance (includes policy and claim files, reports and statistics)	7 years after superseded or obsolete	Destroy	
Various (OOS Manager)	Secondary or non-official statistical reports	3 years after superseded or obsolete	Destroy	
Various (OOS Manager)	Speeches, includes lectures	2 year	Destroy	
Various (OOS Manager)	Strategic planning (includes planning files, performance measurements, reports and statistics)	7 years	Destroy	
Various (OOS Manager)	Survey and poll results (FNUniv and departmental)	7 years	Destroy	

**SCHEDULE 2**

**COMMITTEE RECORDS**

<b>OFFICIAL RECORD HOLDER</b>	<b>RECORD TYPE</b>	<b>MINIMUM RETENTION PERIOD</b>	<b>FINAL DISPOSITION</b>	<b>COMMENTS</b>
Committee or working group chair	Advisory committees, ad hoc committees, working groups agendas, reports, minutes, printed material, attachments, working papers	6 years	Appraise for destruction	

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 3 of 15
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Office of the Board of Governors	Board of Governors' agendas, reports, approved minutes, printed material, attachments, working papers	Permanent	N/A	The ultimate decision-making body, board records are vital to the continued functioning of FNUniv. These records have enduring fiscal, legal, administrative and archival value. The Board of Governors' in-camera agendas and minutes are restricted.
Office of the Board of Governors	Board of Governors' committees and subcommittees (including standing and ad hoc) agendas, reports, approved minutes, printed material, attachments, working papers	Permanent	N/A	Documents in this series include minutes of meetings together with reports and attachments <b>not found</b> in the records of the Board of Directors.
Vice President, Academic	Senior Academic Council (SAC) and Academic Council (AC) agendas, reports, approved minutes, notes of the recording secretary, printed material, attachments, working papers	Permanent	N/A	
Various (OOS Manager)	Notes (draft) of the recording secretary	Until formal minutes are approved	Destroy	

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 4 of 15
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SCHEDULE 3

**EDUCATION AND PROGRAM RESOURCES**

OFFICIAL RECORD HOLDER	RECORD TYPE	MINIMUM RETENTION PERIOD	FINAL DISPOSITION	COMMENTS
Vice President Academic/Program Head	Accreditation status and supporting documents	Permanent	N/A	
Registrar	Calendar of courses	Permanent	N/A	
Program/Department Office	Curriculum: Course outlines, instructional materials, course manuals, learning materials, assessment tools (Course descriptions, learning outcomes, course hours, credit units & course equivalencies are stored electronically and records are updated so historical perspective remains intact)	Permanent	N/A	Upon termination of a course or program, the last version of the curriculum should be stored by the appropriate program division office
Vice President Academic	Program Review documents (self-assessments, supporting documents, final reports, implementation reviews)	Permanent	N/A	Used for historical purposes
Director, Finance	Research grants and special purpose account ledgers	Permanent	N/A	The Finance department is the official record holder for the administrative and financial record of research grants

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 5 of 15
--------------	--	--------------	------------------------	--------------

Vice President Academic	Research projects, awards, appointments, etc.	Permanent	N/A	
Vice President Academic	Faculty Performance Review and Direct Report Performance Review documents	Permanent	N/A	Letters of reference are destroyed periodically in keeping with faculty CBA

**SCHEDULE 4**

**FINANCE**

The Finance Department is responsible for the official financial records of FNUniv. Program and administrative units who hold financial records must adhere to the retention periods set out in this schedule or, alternatively, transfer the official records to the Finance Department for retention. Financial paper records must be disposed of through a confidential shredding, pulping or incineration process. Financial records stored in any electronic records management system are retained permanently.

OFFICIAL RECORD HOLDER	RECORD TYPE	MINIMUM RETENTION PERIOD	FINAL DISPOSITION	COMMENTS
Director, Finance.	Accounts payable cheque register	7 years	Destroy	
Director, Finance	Accounts payable	Permanent	N/A	Records stored in any electronic records management system are retained permanently.
Director, Finance	Accounts receivable ledgers (includes student, employee, and external)	Permanent		Records stored in any electronic records management system are retained permanently.
Director, Finance	Audited financial statements (Annual Report)	Permanent	N/A	
Director, Finance	Audits (other)	7 years	Destroy	

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 6 of 15
--------------	--	--------------	------------------------	--------------

Director, Finance	Authorizations for expenditures	7 years	Destroy	
Director, Finance	Bank reconciliations (includes bank statements, reconciliation forms and correspondence)	7 years	Destroy	
Director, Finance	Budget revisions/submissions and related documentation	7 years	Destroy	
Director, Finance	Budgets (approved)	7 years	Appraise for destruction	
Director, Finance	Cancelled cheques	7 years	Destroy	
Director, Finance	Capital and general ledgers	Permanent	N/A	Records stored in any electronic records management system are retained permanently.
Director, Finance	Cash receipts	7 years		
Director, Finance	Cash reports (includes department deposit vouchers, cash register tapes, petty cash balance sheets, cashiers' daily summaries, cash receipt slips, bank deposit slips, check registers, validation receipts, check stubs, cash register reports, other reports)	7 years	Destroy	
Director, Finance	Charitable donation receipts	7 years	Destroy	
Director, Finance	Cheque listings (outstanding)	7 years	Destroy	
Director, Finance	Cheque requisitions	7 years	Destroy	
Director, Finance	Cheques (returned & NSF)	7 years	Destroy	
Director, Finance	Contract bids/tender bonds	7 years upon termination or cancellation of the contract	Appraise for destruction	

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 7 of 15
--------------	--	--------------	------------------------	--------------

Director, Finance/President's Office	CRA Charitable Information Returns	7 years	Destroy	
Director, Finance	CRA taxation documentation (Includes internal and external correspondence, remittance records, summaries, accumulator adjustment source documents, batch logs, reconciliations, T4 Supplementaries, T4A Supplementaries, T4 Summaries, T4A Summaries)	7 years	Destroy	
Director, Finance	Credit/purchase card issuance/statements & receipts	7 years	Destroy	
Director, Finance	Garnishees and other third party demands	7 years or until superseded or obsolete	Destroy	
Director, Finance	Hazardous Material Information (includes WHMIS)	7 years	Destroy	
Director, Finance	Insurance policy records	Permanent	N/A	
Director, Finance	Invoices for payment by FNUniv	7 years	Destroy	As opposed to invoices issued by FNUniv
Director, Finance	Journal vouchers, includes supporting documentation	7 years	Destroy	
Director, Finance	Month-end summaries (financial reports provided to FNUniv Board of Governors)	7 years	Destroy	
Director, Finance	Payment vouchers	7 years	Destroy	Payment vouchers, check requisitions, invoices, authorization for expenditures are all similar documents

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 8 of 15
--------------	--	--------------	------------------------	--------------



Director, Finance	Payroll information	Permanent	N/A	
Director, Finance	Purchasing contracts and tender documents	7 years	Destroy	
Director, Finance	Purchase requisitions and purchase orders	7 years	Destroy	
Director, Finance	Revenue control (includes revenue and suspense accounts, recoverable amounts, cost recoveries and revenue forecasts)	7 years	Destroy	
Director, Finance	Scholarships, bursaries, and awards (Includes monthly account statements, authorizations, records of payment)	7 years	Destroy	Finance is the official record holder for the administrative records
Director, Finance	Taxes (records related to GST and PST)	7 years	Destroy	
Director, Finance	Third party contract documentation	7 years after expiration	Destroy	
Director, Finance	Travel allowances (includes S4's, etc.)	7 years	Destroy	
President's Office/Director, Finance	Treasury board submissions, pre-approvals and related documentation	7 years	Appraise for destruction	
Director, Finance	T2202A tuition tax receipts and receipt ledgers	7 years	Destroy	
Director, Finance	Tuition and fee assessments (individual student assessments/collection)	Permanent	N/A	Electronic financial records permanently retained
Director, Finance	Write-offs (uncollected accounts)	7 years	Destroy	

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 9 of 15
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Director, Finance	Year-end working papers and summaries	7 years	Destroy	
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**SCHEDULE 5**

**HUMAN RESOURCES**

Human Resources is responsible for the official records related to the administration of employee and employee services. Program and administrative units who hold human resources records must adhere to the retention periods set out in this schedule or, alternatively, transfer the official records to Human Resources for retention. Individual employee personnel records must be kept in secure storage and disposed of through a confidential shredding, pulping or incineration process. Individual employee personnel records stored in any electronic records management system are retained permanently.

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD	FINAL DISPOSITION	COMMENTS
Director, Human Resources	Personnel Files	10 years	Destroy	Upon termination, an employee's personnel file will be retained for a period of 10 years. Part-time employee personnel files will be moved to inactive status after a period of inactivity lasting 2 years. Ten years after moving to inactive status these files will be destroyed. Files created for part-time employees whose contracts are cancelled will not be retained and will be immediately

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 10 of 15
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				destroyed and discarded. Employees who are deceased will have their files retained for a period of 10 years.
Director, Human Resources	Grievances/Arbitration Files	10 years	Appraise for destruction	Grievance files will be retained for a period of 10 years from the date the file was closed.
Director, Human Resources	Human Rights Complaints	10 years	Appraise for destruction	Human Rights Complaints will be retained confidential in secure cabinets for a period of 10 years from the date the complaint was resolved. They will remain separate from personnel records.
Director, Human Resources	Accommodations/Disability Files	10 years	Destroy	All accommodation/disability files for personnel will be retained for a period of 10 years after an employee moved to inactive status. They will remain separate from the personnel file.
Director, Human Resources	Pension/Benefit Information (Employee)	10 years	Destroy	Upon termination, an employee's group insurance information will be retained for a period of 10 years. Where an employee retires and elects retiree benefit coverage all group insurance information for the employee will be kept in their retirement file. Once coverage under the retiree's plan ceases, (death or decline of

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 11 of 15
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				coverage) the retirement file will be retained for a period of 10 years.
Director, Human Resources	Pension and Benefits Records	Permanent	N/A	Records pertaining to the administration of FNUniv pension and benefits plans (plan texts, committee minutes, etc.) shall be indefinite.
Director, Human Resources	Health and Safety – Accident Files	10 years	Appraise for destruction	Accident files will be retained for a period of 10 years.
Director, Human Resources	Health and Safety – WCB Files	Permanent	N/A	WCB claim information will be retained indefinitely. They will remain separate from the personnel file.
Director, Human Resources	Recruitment Files	2 years	Destroy	Application forms and resumes for candidates not selected for an interview will be retained for a period of 2 years before being deleted and/or destroyed. All information related to a candidate who was interviewed but not selected for a position (application form, resume, interview notes, reference checks, etc.) will be retained for a period of 2 years before being deleted and/or destroyed.
Director, Human Resources	Electronic Files	Yearly Review	Appraise for destruction	Electronic Files will be reviewed at the start of each fiscal year by the members of the Human

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 12 of 15
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				Resources Department to determine if the files are to remain active, be archived or deleted.
Director, Finance	Salaries and wages (includes general records related to the calculation of salary and wage matters, rates of pay, deductions, regulations regarding payment of wages and substitution pay, salary schedules, etc.)	7 years after superseded or obsolete	Destroy	

**SCHEDULE 6**

**STUDENT RECORDS**

The Registrar is responsible for student records. Program and administrative units who hold administrative and transitory student records must adhere to the retention periods set out in this schedule. Transitory student paper records must be kept in secure storage and disposed of through a confidential shredding, pulping or incineration process. Official student records, including those stored in paper format or in any electronic records management system are retained permanently.

OFFICIAL RECORD HOLDER	RECORD TYPE	MINIMUM RETENTION PERIOD	FINAL DISPOSITION	COMMENTS
Registrar	Academic advisement records regarding the student or staff in the conduct of institutional business with the student	10 years after graduation or date of last attendance	Assess and destroy	The U of R is the official records holder. FNUniv Student records include: <ul style="list-style-type: none"> <li>- Advanced placement and other placement tests records/scores</li> <li>- Application for admission, supporting documents, and related</li> </ul>

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 13 of 15
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				correspondence, includes acceptance letters - Conduct documentation includes disciplinary actions - Relevant correspondence - Grade 10-12 final marks - Petitions and formal appeals, together with supporting documents and decision rendered - Registration records in particular terms, years or semesters - Student status at the end of each term for which a student was registered
Registrar	Consent (written) to release of records disclosure	1 year	Destroy	
Course Instructors	Final examination papers or other final evaluation and assessment instruments (uncontested)	6 months after end of course	Destroy	
Registrar	Graduation lists/booklets	Permanent	N/A	
Program Office	Practicum/placement agreements	Until superseded or expired	Assess and destroy	
Program Office	Practicum/placement and evaluation	1 year after end of course	Assess and destroy	
Director, Student Success Services/Director, Finance	List of scholarships, bursaries, and awards and their recipients	7 years	Destroy	
Director, Finance	Sponsorship agreements	1 year following expiration	Destroy	

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 14 of 15
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Director, Finance	Student loan/financial aid documentation	4 years after graduation or date of last attendance	Destroy	
Registrar	Transcripts	Permanent	N/A	A database is kept for Nursing & NSDT students

Approved By:	Prepared By: Secretary to the Board	Date Issued:	Supersedes/New: New	Page 15 of 15
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