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.

2.1. 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.

3.1 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

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. <u>Record</u> means a record as defined in FOIPOP, including "books, documents, maps,

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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. D

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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.

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.

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

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	Management	inværatger7655(org)r5.b(ve)king(rand6(ti)litties.rcudes.rcyords cet e 91.3(o)-6rf e(iv71.7(e)-2
FIN	Financial	Includes records relating to the financial management of the
	Management	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	Includes records related to the administration of research,
	Management	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	Includes records related to faculty administrative and teaching
	Learning	functions such as accreditation, courses and curriculums, pr gra127.8(m)-6.9()]TJ

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
ADMINISTRA	TION (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

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		'		

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 MAN	AGEMENT (EIM)				
	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				

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		
EM-0400	Technology Asset Management	Includes records relating to hardware,				



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	Incudes payment information, direct mail response forms, gift information forms, session paperw.3()8.36k-1.2(u,11.15)-2.4(re	I-2.5(c)190 1 2P1y0.5(2g)	190 7.3(at.e0 0 ′	lre P1y0.5(2	2gre f 761.163

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			•	•



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, Plannintg284 (%)a 4 /s3(6)-2.5	Fiscal Year 5(A)3.2(n)1.9(a)1	7 .2(ly)7.1(sis)10.	Transfer to 3Um∏versitty⊤ Q 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 ab87 re f 25(e)-s748 - 488 Tf v(o)5	5.7(5.4(n)3.6(t).5(s))10.(e)	9.3()1.3(al)]TJ	ET Q d	q BT /F2 11.03

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
FIN-1000	Endowments	and supporting documentation. 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

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
FIN-1700	Budgets - University	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. 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.				

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,				

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 RES	OURCES (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 & Oulture 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	Collective Agreements Negotiations	Human Resources	Until matter is Settled Life of	1	1
		Materials Discipline Files [for reference after removal from employee file]		Contract Until Employee has		



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 N	IANAGEMENT (REM)		·			
REM-0100	Intellectual Property	Includes records related to university created intellectual property (i.e.,	FGSR-			

inventions, patents, copyright, trademarks etc.). Records may include invention disclosures, waiver agreements, licenses,

commercialization plans and other related

Excludes intellectual property belonging to

assignments market assessments,

documents.

researchers

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 Code	Records Class	Scope Notes/Description	Responsible Office	Retention

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
STU-0400	Financial Assistance (Students)					

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
		programs executed by the Sudio related to the field of Teaching and Learning and Scholarship of Teaching and Learning. Studio program documents for departmental development, operations, and reports.				
TAL-0500	Student Records & Acquisitions	Includes exams, quizzes, assignments, papers, thesis defense, unclaimed student work. Records, requests, and acquisitions for students enrolled in Online Learning (WW courses) requiring accommodations are supported by Studio staff Records, requests, and acquisitions for students enrolled in Extended Learning programs requiring accommodations are supported by Studio staff Invigilation requests, records, exams, and tests for students enrolled in online (WW courses) are coordinated through the Studio office. General communications with students enrolled in Online Learning and Extended Learning programs are operational records held on file. General communications with faculty enrolled in Studio programs are operational				

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

Records Code	Records Class	Scope Notes/Description	Responsible Office	Retention Event	Retention Period (Yrs)	Disposition
ADMINISTRA						
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	regarding Annual Report Sabbatical Reports can be included in				

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 Sgned Acceptance from VPAR to faculty member	Originating	File Closed	7	Archives
VPA-0700	AssA		ı	I		I

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 Sgned Contract	Originating	Completion	5	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
				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	Cover Letters Minutes from Meetings News articles Publications	Originating	Completed	7	Archives
	Award Awards (Confidential)	Grant Application				
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