

Policy Name	<b>Records Management</b>		
Policy #	<b>809</b>	Category	<b>Information Management</b>
Policy Sponsor(s)	<b>Associate Vice-President, Strategy</b>	Previous Revision Date	<b>N/A</b>
Policy Approved by	<b>President and CEO</b>	Revision Date	<b>May 9, 2022</b>
Procedures Approved by	<b>Vice-President, Advancement and International</b>	Review Date	<b>See Policy Review Date or As Required</b>

See the related [POLICY](#).

### DEFINITIONS

**Official Record** means a record that documents the operations and services provided by Saskatchewan Polytechnic. These records have a type, retention period and final disposition.

**Permanent Record** means any record that has enduring fiscal, legal, administrative and archival value and is assigned a permanent retention period.

**Personal information** means personal information about an identifiable individual that is recorded in any form, as more specifically defined in Section 23 of *The Local Authority Freedom of Information and Protection of Privacy Act*.

**Record** means a record of information in any form and includes information that is written, photographed, recorded or stored in any manner, but does not include computer programs or other mechanisms that produce records [ref: *The Local Authority Freedom of Information and Protection of Privacy Act*]. Examples of records include emails, information stored in any electronic records management system such as Banner, electronic databases, documents, letters, memorandums, handwritten notes, agreements, papers, manuals, reports, journal books, drawings, sticky notes, etc.

**Record Holder** is the department, office or position responsible for the creation, distribution, use, maintenance, and disposition of a record. A record holder is responsible to ensure that appropriate security measures are in place when managing or disposing of records. The responsible out-of-scope manager has ultimate accountability for a division's official records and is considered the **Official Record Holder**.

**Transitory Record** means a record of temporary usefulness that is needed only for a limited period of time, to complete a routine task, or to prepare an ongoing document. Transitory records are not required to meet statutory obligations or to sustain administrative or operational functions. Once they have served their purpose, they should be destroyed. Examples of transitory records include duplicate copies, drafts and working materials, meeting notes after official minutes have been approved, telephone messages, print or electronic mail messages of short-term value, publications from outside Saskatchewan Polytechnic, advertising mail, blank forms, etc., that have no further use.

Transitory records that have been substantially annotated (altered with hand-written or other comments or notes) that may have future value to Saskatchewan Polytechnic will be filed with the master version.

## PROCEDURES

1. Saskatchewan Polytechnic employees will follow the approved records retention schedule for all official Saskatchewan Polytechnic records. This retention schedule is set out as an appendix to these procedures.
2. The retention schedule will be reviewed regularly to ensure they meet legal and operational requirements.
3. Official records will be retained until they meet the retention period specified in the retention schedule.
4. Transitory records should be deleted on an ongoing and regular basis.
5. Once records are ready for disposal they will be archived, if appropriate, or destroyed in a secure manner appropriate to the type of record. For example, paper records should be securely shredded (utilizing crosscut shredding) and disposed of and electronic records should be deleted and removed from the computer. Records that do not contain any personal information or confidential business information do not need to be shredded.
6. Records which have met their retention, but must be held due to access request, audit or litigation purposes should be flagged or moved to a separate, secure location to ensure they are protected from destruction.
7. Each department or work unit should create file structures which would permit others within the unit to access files as necessary to do their work and keep them secure from outside access. These structures should also allow for records to be destroyed as they meet their retention period.
8. Saskatchewan Polytechnic will arrange for secure shredding services to be accessed by all employees for confidential records.
9. Saskatchewan Polytechnic will arrange for off-site storage of physical records which have not yet met their retention period, but which are no longer needed on a regular basis. Off-site storage is intended to provide inexpensive space which is secure and climate controlled. Off-site storage is managed by Facilities.
  - 9.1 Records being sent to off-site storage should be inventoried and assigned a destruction date.
  - 9.2 Off-site storage inventories should be reviewed regularly, and records destroyed as soon as practical in order to minimize costs associated with storage.
10. Record destruction will be approved by the appropriate Out of Scope manager. Destruction and approvals should be documented, and records of destruction maintained to support future access to information requests.

# Appendix A

## Saskatchewan Polytechnic Records and Retention Schedule

All records should be kept for a minimum of six years, with the exception of records noted below. Once these records have met their retention, they may be destroyed securely.

### ADMINISTRATIVE / OPERATIONAL (GENERAL)

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
AVP, Communications and Marketing	Official Sask Polytech publications	Permanent	N/A	
AVP, Strategy (OOS Institutional Research & Analysis)	Official statistical reports, and formal institutional survey reports	Permanent	N/A	
Various (OOS Manager)	Legal opinions, challenges and judicial opinions	10 years after superseded or obsolete	Selective retention	
AVP, Communications and Marketing	Memorabilia of historical significance	Permanent	N/A	One of each memorabilia should be retained
AVP, Strategy (Manager, Governance and Privacy)	Policies and procedures	Permanent	N/A	
AVP, Strategy	Strategic Plans and performance indicators (e.g., balanced scorecard information)	Permanent	N/A	

## COMMITTEE RECORDS

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
Office of the Chairperson	Minutes and meeting documentation from meetings of groups with official decision-making or recommendation-making capacity. These groups include: <ul style="list-style-type: none"> <li>• SLC</li> <li>• SALT</li> <li>• ASLT</li> <li>• SLT</li> <li>• SMA</li> <li>• Academic Council</li> </ul>	Permanent	N/A	
Committee or working group chair	Minutes and meeting documentation from meetings of groups acting in an advisory or operational capacity. These groups include: Advisory committees, ad hoc committees, working groups	Life of the Committee plus 6 years as per general retention schedule	Appraise for destruction	
Office of the Board of Directors	Minutes and meeting documentation from meetings of the Board of Directors' and committees.	Permanent	N/A	Documents in this series include minutes of meetings together with reports and attachments. The ultimate decision-making body, board records are vital to the continued functioning of Sask Polytech. These records have enduring fiscal, legal, administrative and archival value.

## EDUCATION AND PROGRAM RESOURCES

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
Dean	Accreditation status and supporting documents	Current plus one copy of the previous version	Ongoing destruction	
AVP, Student Services	Calendar of courses	Permanent	N/A	
AVP Learning and Teaching (Director, Library Services)	Copyright	Permanent	N/A	Copyright verification and payment often requires the ability to trace the roots of documents or citations to previous versions
Dean	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 revision, one copy per year maintained by the Dean's office
Program and AVP, Teaching and Learning (Quality Assurance and Learner Pathways)	Program revisions including minor revisions, major revisions and implementation proposals	Permanent	N/A	Used for historical purposes
Vice-President, Academic and Provost	Program Review – Annual and Comprehensive Review Reports	Permanent	N/A	Policy requires that programs provide the Office of the Special Advisor to the Provost with reports each year
AVP, Applied Research and Innovation	Research grants and special purpose account ledgers	Permanent	N/A	Office of Applied Research and Innovation is the official record holder for the administrative and financial record of research grants
AVP, Student Services (Testing Services OOS manager)	Test results records that are not Sask Polytech program related	1 year after completion	Destroy	

## FINANCE

Financial Services is responsible for the official financial records of Saskatchewan Polytechnic. Retention periods of financial records adhere to requirements set by the Saskatchewan Polytechnic board of directors and the Canada Revenue Agency (CRA). 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 Financial Services for retention. Program and administrative units need only retain secondary financial records for a maximum of 2 years. Financial paper records must be disposed of through a confidential shredding, pulping or incineration process. Financial records stored in any electronic records management system (e.g., Banner) are retained permanently.

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
AVP, Financial Services	Accounts payable	7 years	Destroy	Records stored in any electronic records management system are retained permanently
AVP, Financial Services	Accounts receivable ledgers (includes student, employee, and external)	7 years	Destroy	Records stored in any electronic records management system are retained permanently
AVP, Finance	Audited financial statements (Annual Report)	Permanent	N/A	
AVP, Financial Services	Capital and general ledgers	Permanent	N/A	Records stored in any electronic records management system are retained permanently
AVP, Financial Services (Accounts Payable and Payroll OOS managers)	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	
AVP, Financial Services	Insurance policy records	Permanent	N/A	
AVP, Financial Services	Payroll information (includes salary records and records of subpoenas and wage garnishees).	10 years after end of employment, provided 5 years have elapsed since the last administrative action on the file	Appraise for destruction / selective retention	Records stored in any electronic records management system are retained permanently
AVP, Student Services and AVP Financial Services (Registrar)	Tuition and fee assessments (individual student assessments/collection)	Permanent	N/A	Electronic financial records permanently retained

## 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. Program and administrative units need only retain secondary or transitory human resources records for a maximum of 2 years. 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 (e.g. Banner) are retained permanently.

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
AVP, Human Resources (Director, Health & Safety)	Accidents and injuries (includes incident logs and Workers' Compensation claims)	6 years after incident or settlement of claim	Appraise for destruction	
AVP, Human Resources (Director, Employee Relations)	Collective agreements (includes letters of understanding and other negotiations)	Permanent	N/A	
AVP, Human Resources (Director, HR Advisory Services)	Competition Files – job applications only (candidates not screened in)	2 years	Destroy	
AVP, Human Resources (Director, HR Advisory Services)	Competition files – screened-in applicants (includes advertisements, job applications, resumes, records relating to refusal or failure to hire, test papers, medical tests, and/or other screening tools, staffing forms)	6 years	Destroy	
AVP, Human Resources	Employee records – (personnel file reflecting work history) – includes personal data, resumes, correspondence, evaluations, employment contracts, relocation, certification and licences, vacation, sick and other leave history, notice of layoff/job change, performance information, commendations and discipline. Also includes disability, insurance enrolment forms, benefit utilization (where required)	10 years after end of employment, provided 5 years have elapsed since the last administrative action on the file	Appraise for destruction / selective retention	Personnel records are required to be retained in the official employee file
AVP, Human Resources (Director, Employee Relations)	Grievance appeal or litigation files	6 years after settlement	Appraise for destruction	
AVP, Human Resources / AVP, Student Services	Harassment / discrimination files	Permanent	N/A	The AVP, HR is responsible for employee files and the AVP, Student Services is responsible for student files
AVP, Human Resources (Director, HR Advisory Services)	Seniority roster	Permanent	N/A	

## STUDENT RECORDS

The Director, Enrolment Services and Registrar, through Enrolment Services, 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.

The personal and confidential information obtained from prospective, current or past Saskatchewan Polytechnic students must be dealt with in accordance with Confidentiality of Personal Information and Records of Applicants and Students policy #1204.

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 (e.g. Banner) are retained permanently.**

For the purposes of this policy, “students” includes all registered Saskatchewan Polytechnic students, including Faculty Certificate Program participants.

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
AVP, Student Services (Registrar)	Advanced placement and other placement tests records/scores (e.g.. ACCUPLACER)	1 year for documents that <b>are entered</b> in an electronic records management system 6 years after graduation or date of last attendance for documents <b>not</b> entered in an electronic records management system	Destroy	
AVP, Student Services (Registrar)	Application for admission, supporting documents, and related correspondence, includes acceptance letters, for applicants not admitted	1 year	Destroy	
AVP, Student Services (Registrar)	Application for admission, supporting documents, and related correspondence, includes acceptance letters, for applicants admitted	1 year for admission and supporting documents that <b>are entered</b> in an electronic records management system 5 years after graduation or date of last attendance for admission and supporting documents that <b>are not entered</b> in an electronic records management system	Destroy	
Program (Dean) / Registrar	Conduct documentation includes disciplinary actions	5 years after date of transaction or last attendance for informal documentation in the program files Formal conduct documentation shall be retained permanently by Registration Services	Assess and destroy	
AVP, Student Services (Registrar) and Various (OOS manager)	Student Consent (written) – includes consent to release of records; consent forms for access to provincial SIS database, etc.	Permanent	N/A	
AVP, Student Services (Director, Counseling and Accessibilities Services)	Counselling or Psychology files	7 years	Destroy	
AVP, Student Services (Registrar)	Courses attempted and results of attempts	Permanent	N/A	



Program (Dean)	Final examination papers or other final evaluation and assessment instruments (uncontested) <sup>1</sup>	1 year	Destroy	
Program (Dean)	Final examination papers or other final evaluation and assessment instruments (subject of student appeal, grade appeal, or legal action) <sup>2</sup>	1 year after end of course (minimum)	Assess and destroy	
Dean, Adult Education and AVP, Student Services (Registrar and Director Enrolment Services)	Grade 10-12 final marks	Permanent	N/A	Forwarded to Ministry of Education for retention
Dean, AVP, Student Services (Registrar and Director, Enrolment Services)	Grade appeals	5 years after graduation or date of last attendance	Destroy	
AVP, Student Services	Graduation lists/booklets	Permanent	N/A	
AVP, Student Services (Registrar and Director, Enrolment Services)	Graduation records, includes credential and award date	Permanent	N/A	
AVP, Student Services (Health Nurse)	Medical records	Permanent	N/A	
AVP, Student Services (Registrar and Director Enrolment Services)	Official Student Records, including those stored in paper format or in any electronic records management system (e.g., Banner). Includes personal information (e.g. birthdate, change of address, citizenship status, name, previous name(s), ID number, etc.)	Permanent	N/A	
Original Decision Maker, AVP, Student Services (Registrar and Director Enrolment Services)	Petitions and formal appeals, together with supporting documents and decision rendered	10 years after date of decision	Assess and destroy	Original decision maker is responsible for Level One appeals. Appeals submitted to another authority within the institution should be retained by that office or as specified in policy.
Dean	Practicum/placement or Co-op agreements	Until superseded or expired	Assess and destroy	
Dean	Practicum/placement or Co-op reports and evaluations	1 year after end of course (minimum)	Assess and destroy	
AVP, Student Services (Registrar and Director Enrolment Services)	Registration records in particular terms, years or semesters	Permanent electronic retention	N/A	Microfiche and Paper Registration Records prior to Banner Student have been electronically archived

<sup>1</sup> Saskatchewan Polytechnic programs, regional colleges, employers participating in work-based training or educational partners delivering Saskatchewan Polytechnic courses/programs are bound by this guideline.

<sup>2</sup> Saskatchewan Polytechnic programs, regional colleges, employers participating in work-based training or educational partners delivering Saskatchewan Polytechnic courses/programs are bound by this guideline.

AVP, Student Services (Registrar and Director Enrolment Services)	Transcripts <sup>3</sup>	Permanent	N/A	
---	--------------------------	-----------	-----	--

---

<sup>3</sup> Transcript elements include:

1. Student's full legal name
2. ID number
3. Term, session or semester and year
4. Institute, School, program and major
5. Course code
6. Course name
7. Credit hours
8. Grade
9. Statistical summary at the end of each registration period, showing semester weighted average, cumulative weighted average and weighted grade points
10. Overall status at the end of a given registration period showing eligibility to proceed, probation status, academic suspensions, required withdrawal, eligibility to graduate, etc.
11. Date(s) of graduation and document(s) received identifying the program and major at the point of graduation
12. Name and address of the institute
13. Production date of the transcript
14. Page numbers on the transcript
15. End of data identification lines
16. A legend which explains all codes employed within the transcript