SUBJECT: Record Retention and Disposal

CATEGORY: Information Management

NO. 809

PREAMBLE

SIAST acknowledges that, pursuant to The Local Authority Freedom of Information and Protection of Privacy Act (the Act), any person may apply to access any record SIAST produces or acquires during the course of delivering its programs and services. SIAST also recognizes its duty to: maintain its records only for the duration of their useful lifetime; preserve its records that have historical significance; and, protect certain records that are exempt from disclosure under the Act.

While it is the responsibility of SIAST senior management to be aware of and adhere to any applicable legislated or other applicable record-keeping requirement, this policy is designed to provide guidance regarding the retention and disposition of SIAST records. It establishes who is responsible for maintaining the safe and secure storage of records, what types of records must be retained, the length of the retention period, and what records can be safely and securely destroyed.

POLICY

SIAST employees and its board of directors will ensure the integrity of all SIAST records. Any record created or received by SIAST employees or its board of directors, regardless of its format, is the property of SIAST.

All SIAST records will be retained and/or disposed of in accordance with this policy. Records not referenced will be managed in accordance with any applicable laws or regulations, or in compliance with the Saskatchewan Administrative Records Management System 2006 (ARMS 2006) or established and documented organizational and/or divisional guidelines.

SIAST employees must protect personal information about an identifiable individual in accordance with the requirements set out in The Local Authority Freedom of Information and Protection of Privacy Act and Confidentiality of Personal Information and Records of Applicants and Students policy #1204.
The record holder is responsible for a record’s retention and disposition. All SIAST records must be stored in a secure and/or suitable environment, be easily accessible and retrievable when required and, except for an act of God or other occurrence beyond the control of SIAST, protected against accidental destruction or loss. SIAST records that have enduring legal, operational or administrative significance will be preserved for as long as they are required. SIAST records that have historical significance will be retained permanently.

Disposal of SIAST records must be appropriate, timely, authorized by the appropriate manager, and carried out in a secure/confidential manner. Enhanced security measures must be followed during the storage, handling, transportation and disposal of records containing personal information or confidential business information.

Any unethical, malicious or unauthorized disclosure or disposition of SIAST records will not be tolerated. Severe violations will be dealt with in accordance with the provisions of Policy Development and Administration policy #506-G.

DEFINITIONS

1. **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*, S.S. 1990-91, c. L-27.1].

   Examples of records include emails, information stored in any electronic records management system (e.g. Banner), electronic databases, documents, letters, memorandums, handwritten notes, agreements, papers, manuals, reports, journal books, drawings, sticky notes, etc.

2. **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*.

3. **Record Holder** is the department, office or person 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**.

4. **Permanent Record** includes any record that is vital to the continued functioning of SIAST or that has lasting historical significance. Permanent records have enduring fiscal, legal, administrative and archival value and are retained indefinitely. Wherever possible, permanent records should be retained in both original and electronic format.
4. **Administrative Records** and **Operational Records** relate to administrative functions or the operations and services provided by SIAST. These records have a specific life-span and may be disposed of after their required retention period. Prior to destruction, administrative records and operational records should be appraised for any continued organizational value and/or required extension to their retention period.

5. **Transitory Records** includes records of temporary usefulness that are needed only for a limited period of time, to complete a routine task, or to prepare an ongoing document. They 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 SIAST, 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 SIAST will be filed with the master version.

**PROCEDURES**

Established retention and disposal guidelines and/or legal requirements for SIAST records may be found in the attached schedules:

- Schedule 1: Administrative / Operational (General)
- Schedule 2: Committee Records
- Schedule 3: Education and Program Resources
- Schedule 4: Finance
- Schedule 5: Human Resources
- Schedule 6: Student Records


Information related to transferring records to the Ministry of Government Services’ Records Centre for retention and subsequent disposal, including the Centre’s shipping guidelines and requisite Records Transfer Form, may be located on mySIAST.
## SCHEDULE 1

### ADMINISTRATIVE / OPERATIONAL (GENERAL)

<table>
<thead>
<tr>
<th>OFFICIAL RECORD HOLDER / STEWARD</th>
<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD</th>
<th>FINAL DISPOSITION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exec Director, Marketing &amp; Comm</td>
<td>Annual Report and other significant publications</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Exec Director, Marketing &amp; Comm</td>
<td>Advertising and marketing campaigns</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Agreements, memorandums of understanding, articulations agreements, etc.</td>
<td>6 years after superseded or termination of agreement</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Institutional Research &amp; Analysis</td>
<td>Census data, official statistical reports, and formal institutional surveys</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Complaints and investigations</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Conference and seminars presentation material</td>
<td>2 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP, Human Resources</td>
<td>Emergency measures (contact lists)</td>
<td>1 year after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>President &amp; CEO</td>
<td>Emergency measures (disaster recovery planning and emergency procedures)</td>
<td>6 years after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Fraud and alleged fraud</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>General administrative or operational records</td>
<td>2 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Legal opinions, challenges and judicial opinions</td>
<td>10 years after superseded or obsolete</td>
<td>Selective retention</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Marketing materials</td>
<td>1 year after superseded or obsolete</td>
<td>Destroy</td>
<td>One copy of marketing materials should be retained for 1 year. Additional copies may be destroyed, if appropriate</td>
</tr>
<tr>
<td>Exec Director, Marketing &amp; Comm</td>
<td>Media advisories and releases, media enquiry files and media coverage</td>
<td>2 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Exec Director, Marketing &amp; Comm / Various (OOS)</td>
<td>Memorabilia (SIAST) of historical significance</td>
<td>Permanent</td>
<td>N/A</td>
<td>One of each memorabilia should be retained</td>
</tr>
</tbody>
</table>

Approved by: President & CEO
Prepared by: Institutional Secretary
Date Issued: May 25, 2011
Supersedes/New: New
Page 4 of 22
Original Issue Date: May 25, 2011
<table>
<thead>
<tr>
<th>OFFICIAL RECORD HOLDER / STEWARD</th>
<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD</th>
<th>FINAL DISPOSITION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manager)</td>
<td>Official policies and procedures</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Institutional Secretary</td>
<td>Risk management and insurance (includes policy and claim files, reports and statistics)</td>
<td>6 years after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Secondary or non-official statistical reports</td>
<td>2 years after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Sr. vice-president, academic</td>
<td>SIAST balanced scorecard (KPI) information</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Speeches, includes lectures</td>
<td>1 year</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Strategic planning (includes planning files, performance measurements, reports and statistics)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Surveys and polls results (SIAST and divisional)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
</tbody>
</table>
## COMMITTEE RECORDS

<table>
<thead>
<tr>
<th>OFFICIAL RECORD HOLDER / STEWARD</th>
<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]</th>
<th>FINAL DISPOSITION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice-president administrative services</td>
<td>Administrative services’ council (ASC) agendas, reports, approved minutes, printed material, attachments, working papers</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Committee or working group chair</td>
<td>Advisory committees, ad hoc committees, working groups agendas, reports, minutes, printed material, attachments, working papers</td>
<td>5 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Office of the Board of Directors</td>
<td>Board of directors’ agendas, reports, approved minutes, printed material, attachments, working papers</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Office of the Board of Directors</td>
<td>Board of directors’ committees and subcommittees (including standing and ad hoc) agendas, reports, approved minutes, printed material, attachments, working papers</td>
<td>Permanent</td>
<td>N/A</td>
<td>Documents in this series include minutes of meetings together with reports and attachments not found in the records of the board of directors.</td>
</tr>
<tr>
<td>Senior vice-president, academic</td>
<td>Deans’ council (DC), program council (PC), and senior academic team (SAT) agendas, reports, approved minutes, printed material, attachments, working papers</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>Notes (draft) of the recording secretary</td>
<td>Until formal minutes are approved</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>President &amp; CEO</td>
<td>Senior management assembly agendas, reports, meetings</td>
<td>5 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>OFFICIAL RECORD HOLDER / STEWARD</td>
<td>RECORD TYPE</td>
<td>MINIMUM RETENTION PERIOD</td>
<td>FINAL DISPOSITION</td>
<td>COMMENTS</td>
</tr>
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</tr>
<tr>
<td>Institutional Secretary</td>
<td>Senior management council (SMC) agendas, reports, approved minutes, printed material, attachments, working papers</td>
<td>Permanent</td>
<td>N/A</td>
<td>The most senior decision-making and advisory body within the management of SIAST, SMC records are vital to the continued functioning of SIAST. These records have enduring fiscal, legal, administrative and archival value. SMC agendas and minutes are restricted.</td>
</tr>
</tbody>
</table>

Notes, printed material, attachments, working papers
## SCHEDULE 3

### EDUCATION AND PROGRAM RESOURCES

<table>
<thead>
<tr>
<th>OFFICIAL RECORD HOLDER / STEWARD</th>
<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]</th>
<th>FINAL DISPOSITION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program (dean)</td>
<td>Accreditation status and supporting documents</td>
<td>Current plus one copy of the previous version</td>
<td>Ongoing destruction</td>
<td></td>
</tr>
<tr>
<td>AVP, Student Affairs</td>
<td>Calendar of courses</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Program / Copyright Office (OOS manager)</td>
<td>Copyright</td>
<td>Permanent</td>
<td>N/A</td>
<td>Copyright verification and payment often requires faculty to trace the roots of documents or citations to previous versions</td>
</tr>
<tr>
<td>Publishing (OOS manager)</td>
<td>Course Manuals</td>
<td>Current plus one copy of the previous version</td>
<td>Ongoing destruction</td>
<td>Upon termination of a course or program, one copy of the last version of the applicable course manual is stored in Publishing permanently</td>
</tr>
<tr>
<td>Program / Program Consultant (OOS manager)</td>
<td>Curriculum: Course outlines, instructional materials, course manuals, learning materials, assessment tools</td>
<td>Permanent</td>
<td>N/A</td>
<td>Upon termination of a course or program, the last version of the curriculum should be stored by the appropriate program division office</td>
</tr>
<tr>
<td>Testing Services (OOS manager)</td>
<td>Distance logs for students</td>
<td>6 months</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Printing Services (OOS manager)</td>
<td>Graphic services reproduction originals</td>
<td>1 year after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Library Services (OOS manager)</td>
<td>Library purchase orders</td>
<td>5 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>OFFICIAL RECORD HOLDER / STEWARD</td>
<td>RECORD TYPE</td>
<td>MINIMUM RETENTION PERIOD</td>
<td>FINAL DISPOSITION</td>
<td>COMMENTS</td>
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<td>-----------------------------------------------</td>
</tr>
<tr>
<td>Program / Program Consultant (OOS manager)</td>
<td>Program Review Final Report</td>
<td>Permanent</td>
<td>N/A</td>
<td>Used for historical purposes</td>
</tr>
<tr>
<td>Program / Program Consultant (OOS manager)</td>
<td>Program Review - GAP analysis, curriculum validations including industry survey results</td>
<td>6 years</td>
<td>Appraise for destruction / Destroy</td>
<td></td>
</tr>
<tr>
<td>Program / Program Consultant (OOS manager)</td>
<td>Program Review - Minor revisions, major revisions and implementation proposals</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Program / Program Consultant (OOS manager)</td>
<td>Program Review - Self-assessment reports</td>
<td>6 years</td>
<td>Appraise for destruction / Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, applied research</td>
<td>Research grants and special purpose account ledgers</td>
<td>Permanent</td>
<td>N/A</td>
<td>Office of Applied Research and Innovation is the official record holder for the administrative and financial record of research grants</td>
</tr>
<tr>
<td>Director, applied research</td>
<td>Research and specific purpose contracts (contracts, correspondence and supporting schedules and summaries)</td>
<td>7 years after record has expired, been superseded or no longer useful</td>
<td>Destroy</td>
<td>Office of Applied Research and Innovation is the official record holder for the administrative and financial record</td>
</tr>
<tr>
<td>Testing Services (OOS manager)</td>
<td>Test results records that are not SIAST program related</td>
<td>1 year after completion</td>
<td>Destroy</td>
<td></td>
</tr>
</tbody>
</table>
FINANCE

Financial Services is responsible for the official financial records of SIAST. Retention periods of financial records adhere to requirements set by the SIAST board of directors and the Canada Customs and Revenue Agency (CCRA). 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.

<table>
<thead>
<tr>
<th>OFFICIAL RECORD HOLDER / STEWARD</th>
<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD</th>
<th>FINAL DISPOSITION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounts Payable (OOS manager)</td>
<td>Accounts payable cheque register</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP Financial Services</td>
<td>Accounts payable</td>
<td>Permanent</td>
<td>N/A</td>
<td>Records stored in any electronic records management system are retained permanently.</td>
</tr>
<tr>
<td>AVP Financial Services</td>
<td>Accounts receivable ledgers (includes student, employee, and external)</td>
<td>Permanent</td>
<td>N/A</td>
<td>Records stored in any electronic records management system are retained permanently.</td>
</tr>
<tr>
<td>AVP Finance or Controller</td>
<td>Audited financial statements (Annual Report)</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>AVP Finance or Controller</td>
<td>Audits (other)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable (OOS manager)</td>
<td>Authorizations for expenditures</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Treasury and Grants (OOS manager)</td>
<td>Bank reconciliations (includes bank statements, reconciliation forms and correspondence)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP Finance</td>
<td>Budget revisions/submissions and related documentation</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP Finance</td>
<td>Budgets (approved)</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Treasury and Grants (OOS manager)</td>
<td>Cancelled cheques</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>OFFICIAL RECORD HOLDER / STEWARD</td>
<td>RECORD TYPE</td>
<td>MINIMUM RETENTION PERIOD [Indicates current fiscal year plus the number of years listed]</td>
<td>FINAL DISPOSITION</td>
<td>COMMENTS</td>
</tr>
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<td>---------------------------------</td>
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</tr>
<tr>
<td>Grants (OOS manager)</td>
<td>Capital and general ledgers</td>
<td>Permanent</td>
<td>N/A</td>
<td>Records stored in any electronic records management system are retained permanently.</td>
</tr>
<tr>
<td>AVP Financial Services</td>
<td>Cash receipts</td>
<td>6 years</td>
<td></td>
<td>Treasury and Grants and Revenues &amp; Receivables at SAO and Revenue &amp; Receivables at campuses</td>
</tr>
<tr>
<td>Treasury and Grants and Revenues &amp; Receivables (OOS managers)</td>
<td>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</td>
<td>6 years</td>
<td>Destroy</td>
<td>Treasury and Grants and Revenues &amp; Receivables at SAO and Revenue &amp; Receivables at campuses</td>
</tr>
<tr>
<td>Treasury and Grants (OOS manager)</td>
<td>Charitable donation receipts</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Treasury and Grants (OOS manager)</td>
<td>Cheque listings (outstanding)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable (OOS manager)</td>
<td>Cheque requisitions</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Treasury and Grants (OOS manager)</td>
<td>Cheques (returned &amp; NSF)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Manager of Procurement</td>
<td>Contract bids/tender bonds</td>
<td>6 years upon termination or cancellation of the contract</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Manager of Financial Accounting</td>
<td>CRA Charitable Information Returns</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable and Payroll (OOS managers)</td>
<td>CRA taxation documentation (includes internal and external correspondence, remittance records, summaries, accumulator adjustment source documents, batch logs, reconciliations, T4)</td>
<td>7 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>OFFICIAL RECORD HOLDER / STEWARD</td>
<td>RECORD TYPE</td>
<td>MINIMUM RETENTION PERIOD</td>
<td>FINAL DISPOSITION</td>
<td>COMMENTS</td>
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<tr>
<td></td>
<td>Supplementaries, T4A Supplementaries, T4 Summaries, T4A Summaries</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Manager of Financial Accounting</td>
<td>Credit/purchase card issuance/statements &amp; receipts</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable and Payroll (OOS managers)</td>
<td>Garnishees and other third party demands</td>
<td>6 years or until superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS Manager)</td>
<td>General (records that are not required to support financial, legal or specific administrative functions)</td>
<td>2 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, health &amp; safety</td>
<td>Hazardous Material Information (includes WHMIS)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, Financial Planning</td>
<td>Insurance policy records</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable (OOS manager)</td>
<td>Invoices for payment by SIAST</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Treasury and Grants, Accounts Payable, Accounts Payable, Revenues &amp; Receivables, and Payroll (OOS managers)</td>
<td>Journal vouchers, includes supporting documentation</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP Finance or Controller</td>
<td>Month-end summaries (financial reports provided to SIAST board of directors)</td>
<td>3 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable (OOS manager)</td>
<td>Payment vouchers</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Payroll (OOS manager)</td>
<td>Payroll information</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Manager of Procurement</td>
<td>Purchasing contracts and tender documents</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Manager of Procurement</td>
<td>Purchase requisitions and purchase orders</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP Finance or Controller</td>
<td>Revenue control (includes revenue and suspense)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>OFFICIAL RECORD HOLDER / STEWARD</th>
<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD</th>
<th>FINAL DISPOSITION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director, donor &amp; alumni relations</td>
<td>accounts, recoverable amounts, cost recoveries and revenue forecasts)</td>
<td>6 years</td>
<td>Destroy</td>
<td>Donor &amp; alumni relations is the official record holder for the administrative records</td>
</tr>
<tr>
<td>Accounts Payable (OOS manager) for disbursement records</td>
<td>Scholarships, bursaries, and awards (Includes monthly account statements, authorizations, records of payment)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable (OOS manager)</td>
<td>Taxes (records related to GST and PST)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS managers)</td>
<td>Third party contract documentation</td>
<td>6 years after expiration</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable (OOS manager)</td>
<td>Travel allowances (includes S4’s, etc.)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP Finance</td>
<td>Treasury board submissions, pre-approvals and related documentation</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>AVP Finance</td>
<td>T2202A tuition tax receipts and receipt ledgers</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Registrar / AVP Finance</td>
<td>Tuition and fee assessments (individual student assessments/collection)</td>
<td>Permanent</td>
<td>N/A</td>
<td>Electronic financial records permanently retained</td>
</tr>
<tr>
<td>Revenue &amp; Receivables (OOS manager)</td>
<td>Write-offs (uncollected accounts)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Manager of Financial Accounting</td>
<td>Year-end working papers and summaries</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
</tbody>
</table>
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. 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.

<table>
<thead>
<tr>
<th>OFFICIAL RECORD HOLDER / STEWARD</th>
<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD</th>
<th>FINAL DISPOSITION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>AVP, human resources</td>
<td>Absence reports and statistical summaries – general</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, health &amp; safety</td>
<td>Accidents and injuries (includes incident logs and Workers’ Compensation claims)</td>
<td>6 years after incident or settlement of claim</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Director, employee relations</td>
<td>Arbitration case files</td>
<td>6 years after settlement</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Awards and honours – general</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, people strategies</td>
<td>Benefits (includes travel insurance, allowances and differentials, northern allowances, pensions and superannuation, group life, medical and dental)</td>
<td>6 years or until superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, people strategies</td>
<td>Benefit statements and related group benefit information</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, people strategies</td>
<td>Classification (includes reclassifications, position reviews and appeals)</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Director, employee relations</td>
<td>Collective agreements (includes letters of understanding) and negotiations</td>
<td>6 years after superseded or obsolete</td>
<td>N/A</td>
<td>One copy of every collective agreement should be permanently retained by Human Resources</td>
</tr>
<tr>
<td>Director, human</td>
<td>Competition files (includes</td>
<td>6 years</td>
<td>Destroy</td>
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<tbody>
<tr>
<td>resource advisory services</td>
<td>advertisements, job applications, resumes, records relating to refusal or failure to hire, test papers, medical tests, and/or other screening tools, staffing forms)</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Director, people strategies</td>
<td>Deferred salary leave</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Delegation of authorities</td>
<td>6 years</td>
<td>Destroy</td>
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</tr>
<tr>
<td>Director, people strategies</td>
<td>Disability income</td>
<td>2 years after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, people strategies</td>
<td>Employee Assistance programs</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Employee records – (personnel file reflecting work history) – includes personal data, resumes, correspondence, evaluations, employment contracts, certification and licences, vacation, sick and other leave history, performance information, commendations and discipline</td>
<td>Age 75 or 5 years after death (whichever is earlier) provided 5 years have elapsed since the last administrative action on the file</td>
<td>Appraise for destruction / selective retention</td>
<td>Personnel records are required to be retained in the official employee file</td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Employment Equity programs (includes reports, statistics, issues, etc.)</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Director, people strategies</td>
<td>Employment Insurance general records</td>
<td>2 years after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>General (records that are not required to support financial, legal or specific administrative functions)</td>
<td>2 years</td>
<td>Destroy</td>
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<tr>
<td>Director, employee relations</td>
<td>Grievance and appeal files</td>
<td>6 years after settlement</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources / AVP, student affairs</td>
<td>Harassment / discrimination files</td>
<td>Permanent</td>
<td>N/A</td>
<td>The AVP, HR is responsible for employee files. The AVP, SA is responsible for student files.</td>
</tr>
<tr>
<td>Director, people strategies</td>
<td>Health and wellness programs (morale, welfare and recreational)</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td></td>
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<tr>
<td>AVP, human resources</td>
<td>Hours of work</td>
<td>5 years after termination of employment</td>
<td>N/A</td>
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<tr>
<td>AVP, human resources</td>
<td>Human resources management studies and surveys</td>
<td>6 years</td>
<td>Destroy</td>
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<tr>
<td>AVP, human resources</td>
<td>Human resources manuals/directives</td>
<td>6 years after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources / AVP, student affairs</td>
<td>Human rights issues</td>
<td>6 years after settlement</td>
<td>Appraise for destruction</td>
<td>The AVP, HR is responsible for employee files. The AVP, SA is responsible for student files.</td>
</tr>
<tr>
<td>Director, people strategies</td>
<td>Insurance enrolment cards</td>
<td>55 years</td>
<td>N/A</td>
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<tr>
<td>Director, people strategies</td>
<td>Job relocation files</td>
<td>6 years</td>
<td>Destroy</td>
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<tr>
<td>Director, people strategies</td>
<td>Job standards (includes benchmarks, job descriptions, etc.)</td>
<td>6 years after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
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<tr>
<td>Director, employee relations</td>
<td>Labour issues (includes events, disruptions, strikes, job action, petitions, demonstrations, etc.)</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td></td>
</tr>
<tr>
<td>Director, employee relations</td>
<td>Labour standards litigations</td>
<td>6 years</td>
<td>Destroy</td>
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<tr>
<td>Director, human resource advisory services</td>
<td>Leaves (includes attendance, seniority calculations, long term disability, sick leave, vacation, designated paid holidays, special and other types of leaves) retirement, disability and maternity)</td>
<td>6 years</td>
<td>Destroy</td>
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<tr>
<td>Director, employee relations</td>
<td>Litigation files (potential grievances)</td>
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<td>Destroy</td>
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</tr>
<tr>
<td>Director, health &amp; safety</td>
<td>Occupational health and safety incidents</td>
<td>6 years after settlement or completion of investigation</td>
<td>Destroy</td>
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<tr>
<td>Director, health &amp; safety</td>
<td>Occupational Health and Safety programs, reports and statistics</td>
<td>6 years</td>
<td>Destroy</td>
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<tr>
<td>AVP, human resources</td>
<td>Performance programs and work plans</td>
<td>6 years</td>
<td>Destroy</td>
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</tr>
<tr>
<td>AVP, human resources</td>
<td>Performance/probationary</td>
<td>6 years</td>
<td>Appraise for destruction</td>
<td>Not part of</td>
</tr>
<tr>
<td>OFFICIAL RECORD HOLDER / STEWARD</td>
<td>RECORD TYPE</td>
<td>MINIMUM RETENTION PERIOD</td>
<td>FINAL DISPOSITION</td>
<td>COMMENTS</td>
</tr>
<tr>
<td>---------------------------------</td>
<td>-------------</td>
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<td>-------------------</td>
<td>----------</td>
</tr>
<tr>
<td>resources</td>
<td>materials</td>
<td></td>
<td></td>
<td>employee file</td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Professional Development records</td>
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</tr>
<tr>
<td>AVP, human resources</td>
<td>Reassignments and transfers files</td>
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</tr>
<tr>
<td>Director, employee relations</td>
<td>Re-employment lists</td>
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</tr>
<tr>
<td>AVP, human resources</td>
<td>Reports and statistics (general human resources)</td>
<td>2 years after superseded or obsolete</td>
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<tr>
<td>Director, human resource advisory services</td>
<td>Resumes (unsolicited)</td>
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<tr>
<td>AVP, human resources</td>
<td>Retirement programs (includes early retirement)</td>
<td>6 years after superseded or obsolete</td>
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<td></td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Salary administration (payroll reports and statistics)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Payroll (OOS manager)</td>
<td>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.)</td>
<td>6 years after superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, employee relations</td>
<td>Salary disputes</td>
<td>6 years after settlement</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Salary records (employee)</td>
<td>Age 75 or 5 years after death (whichever is earlier) provided 5 years have elapsed since the last administrative action on the file</td>
<td>Destroy</td>
<td>Part of employee file (e.g. pay for performance, reclassification, bonuses, etc.)</td>
</tr>
<tr>
<td>Director, human resource advisory services</td>
<td>Secondment contract files</td>
<td>6 years after termination of contract</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, human resource advisory services</td>
<td>Seniority roster</td>
<td>2 years after superseded or obsolete</td>
<td>Destroy</td>
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<td>FINAL DISPOSITION</td>
<td>COMMENTS</td>
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<td>--------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------</td>
<td>------------------</td>
<td>----------</td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Separations and layoffs (includes general records related to layoff or separation of employees)</td>
<td>6 years</td>
<td>Destroy</td>
<td>Does not include specific personnel records that are part of employee file</td>
</tr>
<tr>
<td>AVP, human resources / OOS manager</td>
<td>Staffing announcements</td>
<td>2 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS manager)</td>
<td>Staffing – temporary and acting appointments (general records)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Subpoenas and wage garnishees</td>
<td>Age 75 or 5 years after death (whichever is earlier) provided 5 years have elapsed since the last administrative action on the file</td>
<td>N/A</td>
<td>Part of employee records</td>
</tr>
<tr>
<td>Director, people strategies</td>
<td>Training materials</td>
<td>6 years or until superseded or obsolete</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Director, employee relations</td>
<td>Union relations (includes use of employer facilities, union dues, shop stewards, etc.)</td>
<td>6 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Various (OOS manager)</td>
<td>Vacation schedules</td>
<td>2 years</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>AVP, human resources</td>
<td>Volunteer programs/activities</td>
<td>2 years</td>
<td>Destroy</td>
<td></td>
</tr>
</tbody>
</table>
STUDENT RECORDS

The Registrar, through Registration 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 SIAST 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 SIAST students, including Faculty Certificate Program participants.

<table>
<thead>
<tr>
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<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD</th>
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<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registrar</td>
<td>Academic advisement records or other notes made by faculty regarding the student or staff in the conduct of institutional business with the student</td>
<td>5 years after graduation or date of last attendance</td>
<td>Assess and destroy</td>
<td></td>
</tr>
<tr>
<td>Registrar</td>
<td>Advanced placement and other placement tests records/scores (e.g., ACCUPLACER)</td>
<td>1 year for documents that are entered in an electronic records management system</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Armenia</td>
<td>Application for admission, supporting documents, and related correspondence, includes acceptance letters, for applicants NOT ADMITTED</td>
<td>1 year</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Registrar</td>
<td>Application for admission, supporting documents, and related correspondence</td>
<td>1 year for admission and supporting documents that are entered in an electronic records management system</td>
<td>Destroy</td>
<td></td>
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</table>

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<thead>
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<th>COMMENTS</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>includes acceptance letters, for applicants ADMITTED</td>
<td>entered in an electronic records management system 5 years after graduation or date of last attendance for admission and supporting documents that are not entered in an electronic records management system</td>
<td>Destroy</td>
<td></td>
</tr>
</tbody>
</table>
| 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 |  |
| Various (OOS manager)          | Consent (written) to release of records disclosure | Until terminated by the student or 5 years | Assess and destroy |  |
| Various (OOS manager)          | Correspondence (relevant) | 5 years after graduation or date of last attendance | Destroy |  |
| Academic director, student development | Career and counselling documentation (general advice) | 5 years | Destroy |  |
| Academic director, student development | Counselling documentation - psycho-educational assessments, forms and student files | 10 years | Destroy |  |
| Registrar                      | Courses attempted and results of attempts | Permanent | N/A |  |
| Program (dean)                 | Final examination papers or other final evaluation and assessment instruments (uncontested) | 6 months after end of course | Destroy |  |
| Program                        | Final examination papers or | 1 year after end of | Assess and destroy |  |

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

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Prepared by:  
Institutional Secretary  
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<th>COMMENTS</th>
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</thead>
<tbody>
<tr>
<td>(dean)</td>
<td>other final evaluation and assessment instruments (subject of student appeal, grade appeal, or legal action)</td>
<td>course (minimum)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dean, Basic Education / Registrar</td>
<td>Grade 10-12 final marks</td>
<td>Permanent</td>
<td>N/A</td>
<td>Forwarded to Ministry of Education for retention</td>
</tr>
<tr>
<td>Program (dean) / Registrar</td>
<td>Grade appeals</td>
<td>5 years after graduation or date of last attendance</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Campus director</td>
<td>Graduation lists/booklets</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Registrar</td>
<td>Graduation records, includes credential and award date</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Health Nurse / Campus director</td>
<td>Medical records</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Registrar</td>
<td>Personal information (e.g. birthdate, change of address, citizenship status, name, previous name(s), ID number, etc.)</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Original Decision Maker / Campus director / AVP, Student Affairs</td>
<td>Petitions and formal appeals, together with supporting documents and decision rendered</td>
<td>10 years after date of decision</td>
<td>Assess and destroy</td>
<td>Original decision make is responsible for Level One appeals</td>
</tr>
<tr>
<td></td>
<td>Practicum/placement or Co-op agreements</td>
<td>Until superseded or expired</td>
<td>Assess and destroy</td>
<td>Campus directors are responsible for Level Two appeals</td>
</tr>
<tr>
<td>Program (dean)</td>
<td>Practicum/placement or Co-op reports and evaluations</td>
<td>1 year after end of course (minimum)</td>
<td>Assess and destroy</td>
<td>The associate vice-president, student affairs, is responsible for Level Three appeals</td>
</tr>
<tr>
<td>Registrar</td>
<td>Registration records in particular terms, years or semesters</td>
<td>Permanent electronic retention</td>
<td>N/A</td>
<td>Microfiche and Paper Registration Records prior to Banner Student have been</td>
</tr>
</tbody>
</table>

2 SIAST programs, regional colleges, employers participating in work-based training or educational partners delivering SIAST courses/programs are bound by this guideline.
<table>
<thead>
<tr>
<th>OFFICIAL RECORD HOLDER / STEWARD</th>
<th>RECORD TYPE</th>
<th>MINIMUM RETENTION PERIOD</th>
<th>FINAL DISPOSITION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director, donor &amp; alumni relations / Controller</td>
<td>List of scholarships, bursaries, and awards and their recipients</td>
<td>7 years</td>
<td>Destroy</td>
<td>electronically archived</td>
</tr>
<tr>
<td>Registrar</td>
<td>Sponsorship agreements</td>
<td>1 year following expiration</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Dean, Basic Education</td>
<td>Student consent forms for access to the provincial SIS database</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Director, financial planning / Registrar</td>
<td>Student loan/financial aid documentation</td>
<td>3 years after graduation or date of last attendance</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>Registrar</td>
<td>Student status at the end of each term for which a student was registered</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Registrar</td>
<td>Transcripts$^3$</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Registrar</td>
<td>Transcript requests</td>
<td>1 year after date submitted</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Tuition &amp; Fees Assessments/Collection (see Finance)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

$^3$ Transcript elements include:

1. Student’s full legal name
2. ID number
3. Term, session or semester and year
4. Institute, division, 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