



<b>SUBJECT:</b>  <b>Record Retention and Disposal</b>	<b>CATEGORY:</b>  <b>Information Management</b>	<b>NO.</b>  <b>809</b>
---	---	------------------------------

### **PREAMBLE**

SIAS 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 SIAS produces or acquires during the course of delivering its programs and services. SIAS 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 SIAS 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 SIAS 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**

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

All SIAS 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.

SIAS 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.

Approved by:  President & CEO	Prepared by:  Institutional Secretary	Date Issued:  May 25, 2011	Supersedes/New:  New	Page  1 of 22 #809
-------------------------------------	---	----------------------------------	----------------------------	-----------------------------

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*.
2. **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**.
3. **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.

Approved by:	Prepared by:	Date Issued:	Supersedes/New:	Page
President & CEO	Institutional Secretary	May 25, 2011	New	2 of 22 #809

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

The Saskatchewan Administrative Records Management System 2006 (ARMS 2006) manual may be accessed at <http://www.saskarchives.com/web/services-gov-sars.html> to obtain retention and disposal guidelines for records not referenced in the Schedules attached to this policy.

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.

Approved by:	Prepared by:	Date Issued:	Supersedes/New:	Page
President & CEO	Institutional Secretary	May 25, 2011	New	3 of 22 #809

**SCHEDULE 1**

**ADMINISTRATIVE / OPERATIONAL (GENERAL)**

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Various (OOS Manager)	Agreements, memorandums of understanding, articulations agreements, etc.	6 years after superseded or termination of agreement	Appraise for destruction	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

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 4 of 22 #809
---------------------------------	---	------------------------------	------------------------	-------------------------

<b>OFFICIAL RECORD HOLDER / STEWARD</b>	<b>RECORD TYPE</b>	<b>MINIMUM RETENTION PERIOD</b> [indicates current fiscal year plus the number of years listed]	<b>FINAL DISPOSITION</b>	<b>COMMENTS</b>
Manager)				
Institutional Secretary	Official policies and procedures	Permanent	N/A	
Various (OOS Manager)	Risk management and insurance (includes policy and claim files, reports and statistics)	6 years after superseded or obsolete	Destroy	
Various (OOS Manager)	Secondary or non-official statistical reports	2 years after superseded or obsolete	Destroy	
Sr. vice-president, academic	SIAST balanced scorecard (KPI) information	Permanent	N/A	
Various (OOS Manager)	Speeches, includes lectures	1 year	Destroy	
Various (OOS Manager)	Strategic planning (includes planning files, performance measurements, reports and statistics)	6 years	Destroy	
Various (OOS Manager)	Surveys and polls results (SIAST and divisional)	6 years	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 5 of 22 #809
---------------------------------	---	------------------------------	------------------------	-------------------------

Original Issue Date: May 25, 2011

## SCHEDULE 2

### COMMITTEE RECORDS

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

Approved by:	Prepared by:	Date Issued:	Supersedes/New:	Page
President & CEO	Institutional Secretary	May 25, 2011	New	6 of 22 #809

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
	notes, printed material, attachments, working papers			
Institutional Secretary	Senior management council (SMC) agendas, reports, approved minutes, printed material, attachments, working papers	Permanent	N/A	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.

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 7 of 22 #809
---------------------------------	---	------------------------------	------------------------	-------------------------

Original Issue Date: May 25, 2011

### SCHEDULE 3

#### 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
Program (dean)	Accreditation status and supporting documents	Current plus one copy of the previous version	Ongoing destruction	
AVP, Student Affairs	Calendar of courses	Permanent	N/A	
Program / Copyright Office (OOS manager)	Copyright	Permanent	N/A	Copyright verification and payment often requires faculty to trace the roots of documents or citations to previous versions
Publishing (OOS manager)	Course Manuals	Current plus one copy of the previous version	Ongoing destruction	Upon termination of a course or program, one copy of the last version of the applicable course manual is stored in Publishing permanently
Program / Program Consultant (OOS manager)	Curriculum: Course outlines, instructional materials, course manuals, learning materials, assessment tools  (Course descriptions, learning outcomes, course hours, credit units & course equivalencies are stored electronically and records are updated so historical perspective remains intact)	Permanent	N/A	Upon termination of a course or program, the last version of the curriculum should be stored by the appropriate program division office
Testing Services (OOS manager)	Distance logs for students	6 months	Destroy	
Printing Services (OOS manager)	Graphic services reproduction originals	1 year after superseded or obsolete	Destroy	
Library Services (OOS manager)	Library purchase orders	5 years	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 8 of 22 #809
---------------------------------	---	------------------------------	------------------------	-------------------------



<b>OFFICIAL RECORD HOLDER / STEWARD</b>	<b>RECORD TYPE</b>	<b>MINIMUM RETENTION PERIOD</b> [indicates current fiscal year plus the number of years listed]	<b>FINAL DISPOSITION</b>	<b>COMMENTS</b>
Program / Program Consultant (OOS manager)	Program Review Final Report	Permanent	N/A	Used for historical purposes
Program / Program Consultant (OOS manager)	Program Review - GAP analysis, curriculum validations including industry survey results	6 years	Appraise for destruction / Destroy	
Program / Program Consultant (OOS manager)	Program Review - Minor revisions, major revisions and implementation proposals	Permanent	N/A	
Program / Program Consultant (OOS manager)	Program Review - Self-assessment reports	6 years	Appraise for destruction / Destroy	
Director, applied research	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
Director, applied research	Research and specific purpose contracts (contracts, correspondence and supporting schedules and summaries)	7 years after record has expired, been superseded or no longer useful	Destroy	Office of Applied Research and Innovation is the official record holder for the administrative and financial record
Testing Services (OOS manager)	Test results records that are not SIAST program related	1 year after completion	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 9 of 22 #809
---------------------------------	---	------------------------------	------------------------	-------------------------

## SCHEDULE 4

### 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.

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
Accounts Payable (OOS manager)	Accounts payable cheque register	6 years	Destroy	
AVP Financial Services	Accounts payable	Permanent	N/A	Records stored in any electronic records management system are retained permanently.
AVP Financial Services	Accounts receivable ledgers (includes student, employee, and external)	Permanent	N/A	Records stored in any electronic records management system are retained permanently.
AVP Finance or Controller	Audited financial statements (Annual Report)	Permanent	N/A	
AVP Finance or Controller	Audits (other)	6 years	Destroy	
Accounts Payable (OOS manager)	Authorizations for expenditures	6 years	Destroy	
Treasury and Grants (OOS manager)	Bank reconciliations (includes bank statements, reconciliation forms and correspondence)	6 years	Destroy	
AVP Finance	Budget revisions/submissions and related documentation	6 years	Destroy	
AVP Finance	Budgets (approved)	6 years	Appraise for destruction	
Treasury and	Cancelled cheques	6 years	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 10 of 22 #809
---------------------------------	---	------------------------------	------------------------	--------------------------

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
Grants (OOS manager)				
AVP Financial Services	Capital and general ledgers	Permanent	N/A	Records stored in any electronic records management system are retained permanently.
Treasury and Grants and Revenues & Receivables (OOS managers)	Cash receipts	6 years		Treasury and Grants at SAO and Revenue & Receivables at campuses
Treasury and Grants and Revenues & Receivables (OOS managers)	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)	6 years	Destroy	Treasury and Grants at SAO and Revenue & Receivables at campuses
Treasury and Grants (Manager)	Charitable donation receipts	6 years	Destroy	
Treasury and Grants (OOS manager)	Cheque listings (outstanding)	6 years	Destroy	
Accounts Payable (OOS manager)	Cheque requisitions	6 years	Destroy	
Treasury and Grants (OOS manager)	Cheques (returned & NSF)	6 years	Destroy	
Manager of Procurement	Contract bids/tender bonds	6 years upon termination or cancellation of the contract	Appraise for destruction	
Manager of Financial Accounting	CRA Charitable Information Returns	6 years	Destroy	
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	7 years	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 11 of 22 #809
---------------------------------	---	------------------------------	------------------------	--------------------------

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
	Supplementaries, T4A Supplementaries, T4 Summaries, T4A Summaries)			
Manager of Financial Accounting	Credit/purchase card issuance/statements & receipts	6 years	Destroy	
Accounts Payable and Payroll (OOS managers)	Garnishees and other third party demands	6 years or until superseded or obsolete	Destroy	
Various (OOS Manager)	General (records that are not required to support financial, legal or specific administrative functions)	2 years	Destroy	
Director, health & safety	Hazardous Material Information (includes WHMIS)	6 years	Destroy	
Director, Financial Planning	Insurance policy records	Permanent	N/A	
Accounts Payable (OOS manager)	Invoices for payment by SIAST	6 years	Destroy	As opposed to invoices issued by SIAST
Treasury and Grants, Accounts Payable, Revenues & Receivables, and Payroll (OOS managers)	Journal vouchers, includes supporting documentation	6 years	Destroy	
AVP Finance or Controller	Month-end summaries (financial reports provided to SIAST board of directors)	3 years	Destroy	
Accounts Payable (OOS manager)	Payment vouchers	6 years	Destroy	Payment vouchers, check requisitions, invoices, authorization for expenditures are all similar documents
Payroll (OOS manager)	Payroll information	Permanent	N/A	
Manager of Procurement	Purchasing contracts and tender documents	6 years	Destroy	
Manager of Procurement	Purchase requisitions and purchase orders	6 years	Destroy	
AVP Finance or Controller	Revenue control (includes revenue and suspense	6 years	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 12 of 22 #809
---------------------------------	---	------------------------------	------------------------	--------------------------

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

Approved by:  President & CEO	Prepared by:  Institutional Secretary	Date Issued:  May 25, 2011	Supersedes/New:  New	Page  13 of 22 #809
-------------------------------------	---	----------------------------------	----------------------------	------------------------------

## 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.

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD <small>[indicates current fiscal year plus the number of years listed]</small>	FINAL DISPOSITION	COMMENTS
AVP, human resources	Absence reports and statistical summaries – general	6 years	Destroy	
Director, health & safety	Accidents and injuries (includes incident logs and Workers' Compensation claims)	6 years after incident or settlement of claim	Appraise for destruction	
Director, employee relations	Arbitration case files	6 years after settlement	Appraise for destruction	
AVP, human resources	Awards and honours – general	6 years	Destroy	
Director, people strategies	Benefits (includes travel insurance, allowances and differentials, northern allowances, pensions and superannuation, group life, medical and dental)	6 years or until superseded or obsolete	Destroy	
Director, people strategies	Benefit statements and related group benefit information	6 years	Destroy	
Director, people strategies	Classification (includes reclassifications, position reviews and appeals)	6 years	Appraise for destruction	
Director, employee relations	Collective agreements (includes letters of understanding) and negotiations	6 years after superseded or obsolete	N/A	One copy of every collective agreement should be permanently retained by Human Resources
Director, human	Competition files (includes	6 y ears	Destroy	

Approved by:	Prepared by:	Date Issued:	Supersedes/New:	Page
President & CEO	Institutional Secretary	May 25, 2011	New	14 of 22 #809

<b>OFFICIAL RECORD HOLDER / STEWARD</b>	<b>RECORD TYPE</b>	<b>MINIMUM RETENTION PERIOD</b> [indicates current fiscal year plus the number of years listed]	<b>FINAL DISPOSITION</b>	<b>COMMENTS</b>
resource advisory services	advertisements, job applications, resumes, records relating to refusal or failure to hire, test papers, medical tests, and/or other screening tools, staffing forms)			
Director, people strategies	Deferred salary leave	6 years	Destroy	
AVP, human resources	Delegation of authorities	6 years	Destroy	
Director, people strategies	Disability income	2 years after superseded or obsolete	Destroy	
Director, people strategies	Employee Assistance programs	6 years	Destroy	
AVP, human resources	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	Age 75 or 5 years after death (whichever is earlier) 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	Employment Equity programs (includes reports, statistics, issues, etc.)	6 years	Appraise for destruction	
Director, people strategies	Employment Insurance general records	2 years after superseded or obsolete	Destroy	
AVP, human resources	General (records that are not required to support financial, legal or specific administrative functions)	2 years	Destroy	
Director, employee relations	Grievance and appeal files	6 years after settlement	Appraise for destruction	
AVP, human resources / AVP, student affairs	Harassment / discrimination files	Permanent	N/A	The AVP, HR is responsible for employee files.  The AVP, SA is responsible for student files.
Director, people strategies	Health and wellness programs (morale, welfare and recreational)	6 years	Appraise for destruction	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 15 of 22 #809
---------------------------------	---	------------------------------	------------------------	--------------------------

<b>OFFICIAL RECORD HOLDER / STEWARD</b>	<b>RECORD TYPE</b>	<b>MINIMUM RETENTION PERIOD</b> [indicates current fiscal year plus the number of years listed]	<b>FINAL DISPOSITION</b>	<b>COMMENTS</b>
AVP, human resources	Hours of work	5 years after termination of employment	N/A	
AVP, human resources	Human resources management studies and surveys	6 years	Destroy	
AVP, human resources	Human resources manuals/directives	6 years after superseded or obsolete	Destroy	
AVP, human resources / AVP, student affairs	Human rights issues	6 years after settlement	Appraise for destruction	The AVP, HR is responsible for employee files.  The AVP, SA is responsible for student files.
Director, people strategies	Insurance enrolment cards	55 years	N/A	
Director, people strategies	Job relocation files	6 years	Destroy	
Director, people strategies	Job standards (includes benchmarks, job descriptions, etc.)	6 years after superseded or obsolete	Destroy	
Director, employee relations	Labour issues (includes events, disruptions, strikes, job action, petitions, demonstrations, etc.)	6 years	Appraise for destruction	
Director, employee relations	Labour standards litigations	6 years	Destroy	
Director, human resource advisory services	Leaves (includes attendance, seniority calculations, long term disability, sick leave, vacation, designated paid holidays, special and other types of leaves) retirement, disability and maternity)	6 years	Destroy	
Director, employee relations	Litigation files (potential grievances)	2 years	Destroy	
Director, health & safety	Occupational health and safety incidents	6 years after settlement or completion of investigation	Destroy	
Director, health & safety	Occupational Health and Safety programs, reports and statistics	6 years	Destroy	
AVP, human resources	Performance programs and work plans	6 years	Destroy	
AVP, human	Performance/probationary	6 years	Appraise for destruction	Not part of

Approved by:	Prepared by:	Date Issued:	Supersedes/New:	Page
President & CEO	Institutional Secretary	May 25, 2011	New	16 of 22 #809



<b>OFFICIAL RECORD HOLDER / STEWARD</b>	<b>RECORD TYPE</b>	<b>MINIMUM RETENTION PERIOD</b> [indicates current fiscal year plus the number of years listed]	<b>FINAL DISPOSITION</b>	<b>COMMENTS</b>
resources	materials			employee file
AVP, human resources	Professional Development records	6 years	Destroy	
AVP, human resources	Reassignments and transfers files	6 years	Destroy	
Director, employee relations	Re-employment lists	6 years	Destroy	
AVP, human resources	Reports and statistics (general human resources)	2 years after superseded or obsolete	Destroy	
Director, human resource advisory services	Resumes (unsolicited)	6 months	Destroy	
AVP, human resources	Retirement programs (includes early retirement)	6 years after superseded or obsolete	Destroy	
AVP, human resources	Salary administration (payroll reports and statistics)	6 years	Destroy	
Payroll (OOS manager)	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.)	6 years after superseded or obsolete	Destroy	
Director, employee relations	Salary disputes	6 years after settlement	Destroy	
AVP, human resources	Salary records (employee)	Age 75 or 5 years after death (whichever is earlier) provided 5 years have elapsed since the last administrative action on the file	Destroy	Part of employee file (e.g. pay for performance, reclassification, bonuses, etc.)
Director, human resource advisory services	Secondment contract files	6 years after termination of contract	Destroy	
Director, human resource advisory services	Seniority roster	2 years after superseded or obsolete	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 17 of 22 #809
---------------------------------	---	------------------------------	------------------------	--------------------------

<b>OFFICIAL RECORD HOLDER / STEWARD</b>	<b>RECORD TYPE</b>	<b>MINIMUM RETENTION PERIOD</b> [indicates current fiscal year plus the number of years listed]	<b>FINAL DISPOSITION</b>	<b>COMMENTS</b>
AVP, human resources	Separations and layoffs (includes general records related to layoff or separation of employees)	6 years	Destroy	Does not include specific personnel records that are part of employee file
AVP, human resources / OOS manager	Staffing announcements	2 years	Destroy	
Various (OOS manager)	Staffing – temporary and acting appointments (general records)	6 years	Destroy	
AVP, human resources	Subpoenas and wage garnishees	Age 75 or 5 years after death (whichever is earlier) provided 5 years have elapsed since the last administrative action on the file	N/A	Part of employee records
Director, people strategies	Training materials	6 years or until superseded or obsolete	Destroy	
Director, employee relations	Union relations (includes use of employer facilities, union dues, shop stewards, etc.)	6 years	Destroy	
Various (OOS manager)	Vacation schedules	2 years	Destroy	
AVP, human resources	Volunteer programs/activities	2 years	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 18 of 22 #809
---------------------------------	---	------------------------------	------------------------	--------------------------

**SCHEDULE 6**

**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.

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD <small>[indicates current fiscal year plus the number of years listed]</small>	FINAL DISPOSITION	COMMENTS
Registrar	Academic advisement records or other notes made by faculty regarding the student or staff in the conduct of institutional business with the student	5 years after graduation or date of last attendance	Assess and destroy	
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  5 years after graduation or date of last attendance for documents <b>not</b> entered in an electronic records management system	Destroy	
Registrar	Application for admission, supporting documents, and related correspondence, includes acceptance letters, for applicants NOT ADMITTED	1 year	Destroy	
Registrar	Application for admission, supporting documents, and related correspondence,	1 year for admission and supporting documents that <b>are</b>	Destroy	

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 19 of 22 #809
---------------------------------	---	------------------------------	------------------------	--------------------------

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
	includes acceptance letters, for applicants ADMITTED	<b>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	
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) <sup>1</sup>	6 months after end of course	Destroy	
Program	Final examination papers or	1 year after end of	Assess and destroy	

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

Approved by: President & CEO	Prepared by: Institutional Secretary	Date Issued: May 25, 2011	Supersedes/New: New	Page 20 of 22 #809
---------------------------------	---	------------------------------	------------------------	--------------------------

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
(dean)	other final evaluation and assessment instruments (subject of student appeal, grade appeal, or legal action) <sup>2</sup>	course (minimum)		
Dean, Basic Education / Registrar	Grade 10-12 final marks	Permanent	N/A	Forwarded to Ministry of Education for retention
Program (dean) / Registrar	Grade appeals	5 years after graduation or date of last attendance	Destroy	
Campus director	Graduation lists/booklets	Permanent	N/A	
Registrar	Graduation records, includes credential and award date	Permanent	N/A	
Health Nurse / Campus director	Medical records	Permanent	N/A	
Registrar	Personal information (e.g. birthdate, change of address, citizenship status, name, previous name(s), ID number, etc.)	Permanent	N/A	
Original Decision Maker / Campus director / AVP, Student Affairs	Petitions and formal appeals, together with supporting documents and decision rendered	10 years after date of decision	Assess and destroy	Original decision make is responsible for Level One appeals  Campus directors are responsible for Level Two appeals  The associate vice-president, student affairs, is responsible for Level Three appeals
Program (dean)	Practicum/placement or Co-op agreements	Until superseded or expired	Assess and destroy	
Program (dean)	Practicum/placement or Co-op reports and evaluations	1 year after end of course (minimum)	Assess and destroy	
Registrar	Registration records in particular terms, years or semesters	Permanent electronic retention	N/A	Microfiche and Paper Registration Records prior to Banner Student have been

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

Approved by:	Prepared by:	Date Issued:	Supersedes/New:	Page
President & CEO	Institutional Secretary	May 25, 2011	New	21 of 22 #809

OFFICIAL RECORD HOLDER / STEWARD	RECORD TYPE	MINIMUM RETENTION PERIOD [indicates current fiscal year plus the number of years listed]	FINAL DISPOSITION	COMMENTS
				electronically archived
Director, donor & alumni relations / Controller	List of scholarships, bursaries, and awards and their recipients	7 years	Destroy	
Registrar	Sponsorship agreements	1 year following expiration	Destroy	
Dean, Basic Education	Student consent forms for access to the provincial SIS database	Permanent	N/A	
Director, financial planning / Registrar	Student loan/financial aid documentation	3 years after graduation or date of last attendance	Destroy	
Registrar	Student status at the end of each term for which a student was registered	Permanent	N/A	
Registrar	Transcripts <sup>3</sup>	Permanent	N/A	
Registrar	Transcript requests	1 year after date submitted	Destroy	
	Tuition & Fees Assessments/Collection (see Finance)			

<sup>3</sup> 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

Approved by:	Prepared by:	Date Issued:	Supersedes/New:	Page
President & CEO	Institutional Secretary	May 25, 2011	New	22 of 22 #809